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LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 1991

HEARINGS

BEFORE A

SUBCOMMITTEE OF THE

COMMITTEE ON APPROPRIATIONS

UNITED STATES SENATE

ONE HUNDRED FIRST CONGRESS

SECOND SESSION

ON

H.R. 5399

AN ACT MAKING APPROPRIATIONS FOR THE LEGISLATIVE BRANCH FOR THE FISCAL YEAR ENDING SEPTEMBER 30, 1991, AND FOR OTHER PURPOSES

Architect of the Capitol (Except House Items)
Capitol Police Board
Congressional Budget Office
General Accounting Office
Government Printing Office
Library of Congress
Office of Technology Assessment
U.S. Senate

Printed for the use of the Committee on Appropriations

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CONTENTS

FRIDAY, MARCH 9, 1990

U.S. Senate: Page
  Office of the Secretary of the Senate 1
  Office of the Sergeant at Arms and Doorkeeper 47
Congressional Budget Office 75

FRIDAY, MARCH 23, 1990

Capitol Police Board 121
Architect of the Capitol 211

FRIDAY, MARCH 30, 1990

Office of Technology Assessment 269
Library of Congress 367
General Accounting Office: Accounting and Financial Management Division ... 431

FRIDAY, APRIL 6, 1990

Government Printing Office 437
General Accounting Office 465
Material submitted subsequent to hearings 509

LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 1991

FRIDAY, MARCH 9, 1990

U.S. SENATE,
SUBCOMMITTEE OF THE COMMITTEE ON APPROPRIATIONS,
Washington, DC.

The subcommittee met at 10:30 a.m., in room SD–116, Dirksen Senate Office Building, Hon. Harry Reid (chairman) presiding.

Present: Senators Reid, Nickles, and Hatfield.

U.S. SENATE

OFFICE OF THE SECRETARY OF THE SENATE

STATEMENT OF HON. WALTER J. STEWART, SECRETARY OF THE SENATE

ACCOMPANIED BY:
JERI THOMSON, ASSISTANT SECRETARY OF THE SENATE
STUART F. BALDERSON, FINANCIAL CLERK OF THE SENATE

OPENING REMARKS

Senator REID. The Legislative Branch Subcommittee is called to order.

Today the Subcommittee on the Legislative Branch begins its hearings on the 1991 budget. The total request for the organizations and activities funded in the legislative branch appropriations bill come to $2,351,123,000. This is about $419 million more than the enacted amount for the current year, which is an increase of over 21 percent. To borrow a phrase from Yogi Berra, this looks like deja vu all over again.

Last year the legislative branch requested increases totaling $395 million, or 21.8 percent over the fiscal year 1989 allowance. I said then that I didn't see how we could afford such increases given the budgetary problems we faced at that time. I don't anticipate any dramatic changes in the situation this year. Even if a peace dividend does materialize from the events in Eastern Europe, it is unlikely that this subcommittee, or any other subcommittee for that matter, is going to get a 21-percent increase in its budget allocation.

So we are faced with the same dilemma as before—balancing essential requirements against the need for fiscal discipline. We have to support essential functions and protect the value of the national assets committed to our safekeeping. I am sure that we can count on the full cooperation of all our agencies in distinguishing what is absolutely necessary from what is simply desirable.

In this connection, it should be recognized that there is an essential difference between legislative and executive branch agencies in the formulation of their respective budgets. As I explained last year, the budgets of executive branch organizations go through several levels of review before they reach the stage of congressional consideration. In contrast, legislative branch agencies develop their budgets in relative isolation. Each decides on its funding request with no reference to other requirements or priorities. These estimates are directly incorporated into the President's budget. Thus the task of weighing each agency's proposals against other priorities and overall budget constraints begins *de novo* in the Appropriations Committee.

Last year the legislative branch request was reduced by $230 million in the regular appropriations process. Since 1981 the Appropriations Committee has cut $1.4 billion from the original requests for the legislative branch agencies. We will continue to look for ways to save money and reduce these budget requests. I believe we can meet critical needs while getting by on less, and I know I can rely on my colleagues to support that effort.

This morning the subcommittee will be hearing the requests of the Secretary of the Senate, the Sergeant at Arms and Door Keeper of the Senate, and the Congressional Budget Office.

We will begin with the Secretary's Office. It is a pleasure to have the Honorable Walter J. Stewart, known to us as Joe Stewart, to present this budget. He is accompanied by Ms. Jeri Thomson, Assistant Secretary of the Senate, and Mr. Stuart Balderson, the Financial Clerk of the Senate. Welcome all of you.

For fiscal year 1991 the Secretary is proposing a total budget of $10,279,000, and 219 positions, an increase of $699,800 and 5 positions over the current level. Of this amount, $9,476,000 is for salaries and $803,000 is for expenses.

Your full statement, Mr. Stewart, will be made part of the record and we would ask you to highlight this so the committee can proceed to the questions.

Mr. **Stewart**. Senator, thank you very much. First let me express my appreciation to the subcommittee for the support I have received from you and the other members of the committee.

AUTOMATION

The Secretary's Office has undertaken extensive and rapid automation, not only with the local area network but with many specialized projects, particularly relating to publication of the Congressional Record. And we are making other changes to improve our service both to Members and to the Senate as a whole.

We have a wonderful staff, and many of the ideas for improvement come directly from them. Our primary automation focus is with the legislative departments, those who work on the floor; prepare the Congressional Record, Daily Digest, Senate Journal, and various publications such as Riddick's Senate Procedures which is prepared and used by the Parliamentarians.

With both the Rules Committee and the computer center's guidance, we have almost completed installing a local area network, or LAN which serves both the Senate floor, the Senate library, and my entire office.

We have been able to make both constructive and cost saving use of new technology in editing Riddick's Senate Procedure and in implementing phases 1 and 2 of our project to automate publication of the Congressional Record. The Clean Lobbying Act, which contains the so-called Byrd amendment, could dramatically increase the workload of the Office of Public Records. Estimates of volume of reports filed as a result of this new law range from 1 to 10 million pieces of additional paper. We are putting on hold any new automation equipment for that office until we can better assess actual increase.

The Disbursing Office currently is using several systems which don't interact. With the Rules Committee's full cooperation, we have begun analysis for a new improved system which will be fully integrated and will allow electronic preparation and processing of vouchers, thus eliminating paper flow between offices.

NEW POSITIONS/BUDGET REQUEST

The Office of Interparliamentary Services has experienced a tremendous increase in workload, particularly in terms of official delegations coming to Washington, DC, from Eastern bloc countries. It takes people and time to organize programs of the length and depth which are now being requested of us.

The Senate Archivist who is assigned to the Historical Office, also is receiving more requests from committees and Members to assist them with cataloging their papers and, in the case of the committees, shipping them to the National Archives for permanent storage. In addition, most of the papers which were sent to the Archives in past years were not properly cataloged. We have just started the process of inventorying this vast body of historical material.

As you have noted before, my total budget request is $10,279,000, an increase of $699,000. Of that amount, $442,000 represents COLA increases, and $182,000 represents merit increases and those additional positions which I am requesting—a technical person, and additional staff for the Office of Public Records, Interparliamentary Services Office, the Enrolling Clerk's Office, and the Historical Office.

I would be pleased to answer any questions the committee would like to ask.

AUTOMATION OF THE CONGRESSIONAL RECORD

Senator Reid. I would be interested in the some of the automation activities of your office. You mentioned in your prepared statement the effort you are making to install automation services, which you indicate will reduce the Senate's printing bill. And, of course, we all applaud that because printing has been an ongoing, extremely large expense.

Could you provide us with detail about specific cost savings you are hoping to see as a result of this automation?

Mr. **Stewart**. I would be glad to, Senator. The most expensive publication in America—and I have referred to this before—is the Congressional Record. This is where we will see the most dramatic savings. We have developed a five-phased program for automating production of the Record. The first two stages, which involved installing special computer equipment and software in the Reporters' and Daily Digest Offices, are complete. All transcript taken by the reporters in the Chamber is prepared using a computer system and the Daily Digest is sent to GPO on a disk instead of on paper.

At the present time with the exception of the Digest, Record copy is sent to GPO on paper where it is retyped for a second or third time, and prepared for printing. If this entire process were computerized and we could send the Record to GPO over a fiber optic link, we would save millions of dollars each year in production costs. We are working with the Joint Committee on Printing, Rules Committee, and GPO to implement such a program as quickly as is feasible.

As I have mentioned, the first two phases are complete and functioning well. In the third phase, we hope to use new technology to enable us to transmit the "Morning Business" section of the Record to GPO on a disk, so they don't have to rekey before printing.

Ultimately, Members may submit material for inserting into the Record on disk.

The fourth and fifth phases would involve installing additional PC's in the Official Reporters' Office so Members can correct their remarks on a PC, as opposed to correcting it by hand, and transmitting the entire Record to GPO via fiber link.

Senator **Reid**. I hope you are not referring to the Members doing it.

Mr. **Stewart**. Well, their staff, if not the Members themselves.

Senator **Reid**. You had me real worried there for a minute.

Mr. **Stewart**. When all of this is in place, we will see some dramatic savings. But at this point, we now project saving the committees about $40,000 through use of scanning and composition systems. The Daily Digest, which now goes to GPO on disk as opposed to hard copy, saves about $120,000 a year. We save about $200,000 each year because we have automated preparation of the Senate Journal.

INTRODUCTION OF SENATOR NICKLES

Senator **Reid**. I see entering the room is Senator Nickles. We have begun the hearing. I would be happy to have you make your statement now. I would indicate that I have already stated that the 21-percent increase that has been requested will be whittled down. So I just wanted you to know before you made your statement that we are looking at this closely.

Would you care to make a statement regarding Mr. Stewart's office?

Senator **Nickles**. I will just make a brief comment, Mr. Chairman. One, the fact that I have got a very large, important amendment on the floor that will be coming up pretty quick that I am going to have to spend most of my time, so I won't really be here very long.

Senator **Reid**. Why don't you go ahead, and if you have some questions, proceed.

Senator **Nickles**. Well, I just want you, and also Joe Stewart and the rest of our guests today, to know that I am going to be thoroughly reviewing their requests and their statements, which I have not done to date, and I will be working with you and with them too to see if we can't come up with budgets that will work and also that we can get passed and that are affordable.

FOREIGN DELEGATION VISITS

Senator **Reid**. Senator Nickles, let me just mention one thing that I was impressed with in the Secretary's statement. With all the goings on in Eastern Europe, his office is getting request after request about how his office is running, and there are requests to have people come and be interns in his office from other countries, because they have had no experience in operating a democratic legislature. So that is one reason that his office has been much busier than it has been in the past.

Senator **Nickles**. They are hungry for information on democracy. They have even been contacting me as chairman of the Senatorial Campaign Committee, how do we run campaigns? I thought, you don't want to know how we run campaigns. [Laughter.]

And I am not sure they want to know how we do legislative affairs.

Senator **Reid**. I would like to know that.

Senator **Nickles**. Mr. Stewart, just briefly, as far as the Secretary of the Senate's Office, you are requesting about a 7-percent increase; is that correct?

Mr. **Stewart**. Our budget request is for $10.2 million, and we are requesting an increase over last year of approximately $700,000. Of that amount $442,000 is for annualizing the COLA increase. The amount we are requesting for new positions and merit increases is $182,000.

Senator **Nickles**. OK. I am not going to ask any other questions, Mr. Chairman, at this time, but I do look forward to working with you and Mr. Stewart.

Senator **Reid**. If you have some questions you want to submit for the record, please do that, and we will make sure you get your answers. We are always very easy to work with.

Senator **Nickles**. OK.

Senator **Reid**. Had you finished, Mr. Stewart, your answer regarding the Congressional Record and their automation?

Mr. **Stewart**. Yes, sir; I had.

SECOND ASSISTANT ENROLLING CLERK

Senator **Reid**. Why do you need a second assistant enrolling clerk?

Mr. **Stewart**. Senator, the enrolling clerk is the person responsible for incorporating the actions of the Senate into the legislation so that it can be printed, signed by the respective House and Senate officers and sent to the President for signature. On numerous occasions, the Senate and House have had to wait while staff cut and pasted together legislation as passed.

We would like to automate this process with a direct tie-in to the Government Printing Office and the Legislative Counsel. In some cases, errors have had to be corrected because of a printing error or through some error made at 3 o'clock in the morning when someone put in a wrong paragraph. This is a very technical position. The person who now occupies the second position in this office came from GPO, as would the third assistant. He would be a person technically expert in automating these procedures.

LEGIS UPGRADE

Senator **Reid**. Your office makes extensive use of the Senate LEGIS system, and I believe it is your staff who enters much of the data on Senate bills, resolutions, and amendments. It is my further understanding that this system is over a decade old and in many instances cumbersome to use when compared today with the modern software.

I also am told that the Senate computer center has a project to upgrade this LEGIS system, and I would like to know, is your office working in the development and design of the upgrades? Tell us what you know about this, generally.

Mr. **Stewart**. Senator, we were consulted by the computer center, and we certainly are willing to work with them to upgrade this very old cumbersome system, which is not very user friendly. Much of the information that goes into the LEGIS system is entered by the bill clerk and checked for accuracy by Senate library staff. The LEGIS system is used extensively by the Senate library personnel to answer the requests they get from Members and staff.

We would love to have an updated system. We will be working with the computer center, and I understand they have just purchased new software which will help in that effort. It is sorely needed.

INTERPARLIAMENTARY DELEGATION VISITS

Senator **Reid**. As you mentioned, and as I talked about briefly for Senator Nickles' benefit, you have an increased number of delegations and heads of state visiting the Senate as the basis for your request, as I understand it, for an additional staff member in interparliamentary services. To what do you attribute the increase of foreign delegations? I assume it is because of what is going on in Eastern Europe.

Mr. **Stewart**. We had at least 35 delegations last year, including members and staff from the Eastern bloc countries, and Russia. The most interesting people were those from Russia, such as the delegation lead by the vice chairman of their new rules committee. He asked, "How do you ensure the executive branch is telling you the truth? How do you get behind the figures they give you?"

They are just basically hungry for information on how we administer the Senate and work with the President; how we keep their feet to the fire, and we——

Senator **Reid**. Haven't you told him the truth, told him you don't know?

Mr. **Stewart**. Well, I told him sometimes we don't know. But they are interested in seeing our Congressional Budget Office; to see how we issue our own projections and look at the different economic indices that they also need to look at.

GIFT OF DEMOCRACY RESOLUTION

In the case of Poland, former Majority Leader Baker, former Vice President Walter Mondale, and Senator Domenici led a delegation to Poland. Senator Domenici came back and passed the gift of democracy resolution which directed us to offer staff assistance to the Polish Parliament. I was asked to lead this staff delegation and eight of us went over to Poland.

Senator **Reid**. How much time did you spend?

Mr. **Stewart**. Seven days.

Senator **Reid**. You worked while you were there?

Mr. **Stewart**. Too hard, frankly. They had us scheduled from 8 o'clock in the morning until about 6:30 or 7 every evening. I asked that we be given just a small window of time to get to know the people a little better. It was extremely interesting and rewarding.

The Polish Parliament has a complete shortage of all types of equipment. The leaders of their house and senate don't even have reproduction equipment. They have committees without typewriters, computer systems, or FAX's. They have no means to get information to members in their home offices. The telephone system is not very reliable.

Our staff delegation will be making recommendations to the leadership within the next week or 10 days which will involve both immediate and long-term assistance, including word processors, reproduction equipment, and internship programs where we might bring some of their members and staff to work with us and we, in turn, would send our highly specialized staff such as a Parliamentarian to help them write rules for their new Senate, or staff from our Congressional Research Service or Senate library to help them modernize their library.

Members have little access to information. Their parliamentary library lacks books and modern technology. If they want to know about possible solutions to environmental problems, they have to telephone someone, maybe in another country, and ask.

We see no reason why they shouldn't have access to some of our data bases either here or in Europe, which most local libraries in the United States have. There is much that we can do which will not be tremendously expensive but will be very helpful to the Polish Parliament.

Senator **Reid**. Mr. Stewart, is this going to be a one-time phenomenon, have it this year and not in the future?

COORDINATING ADDITIONAL TRIPS TO EASTERN BLOC COUNTRIES

Mr. **Stewart**. I don't think so. The program with Poland has been formalized. We have had inquiries and requests and visits from Czechoslovakia, Hungary, and the Soviet Union. We have already discussed with the two leaders the possibility of institutionalizing an office to coordinate gift of democracy type programs. Many different organizations are involved—AID, USIA, private groups and foundations. As a matter of fact, I invited the two individuals from USIA and AID to accompany us to Poland, which they did, and suggested that we set up a roundtable on our return so that we are all going in the same direction.

Senator REID. I know that Dr. Billington, our Librarian of Congress, is one of the country's leading experts on the Soviet Union, and I would think that in the future maybe if you could include him, or someone from his office, in some of these meetings, because it appears that they do need to know something about books and libraries.

Mr. STEWART. Senator, we have done that. We invited two leading experts from CRS, John Hardt and Walter Oleszek, to accompany us to Poland. Dr. Billington and I talked many times and it may be that this coordination office will be set up within the Library of Congress. Both John Hardt and Walter Oleszek were excellent additions to our staff delegation.

Senator REID. I think that is something you should pursue further, because they would have the facilities and staff that we could work into much easier with your operations.

Mr. STEWART. That was my thought, that we could ensure continuity because they have the staff, expertise, and resources, which is preferable to us building up tremendous staffs of our own to do the same job.

Senator REID. Not only that, but they also have experts on various countries. They have people who are experts on Romania and so on.

Well, we will look forward to your work on that. I think that these are the kinds of things that we can do to help those countries that are emerging democracies that aren't listed in the dollar and cents column. I think they are programs that will never be written about but in the time to come will be extremely important to those countries.

Mr. STEWART. I share that view, Senator.

SENATE PAGE SCHOOL

Senator REID. You have asked for an increase to cover the cost of educating Senate pages.

Mr. STEWART. Yes, sir.

Senator REID. This request covers increases over the past 2 years, not just 1 year.

Mr. STEWART. That is correct.

Senator REID. Would you give us an idea why these increases are necessary?

Mr. STEWART. Senator, the District of Columbia sets the salary levels for page school teachers, and we contract with the D.C. government for teacher services. We absorbed the increase last year and the year before. Now the D.C. government is projecting another 10-percent increase, plus additional costs to replace reproduction equipment and to purchase computer equipment. This cost, salary and equipment, is what this increase represents.

Senator **Reid**. Have we ever had anyone analyze the school as to how the students do? Is the education they receive here a good education? I have had a page in the system and I have often wondered how that education that that page received here compared.

Mr. **Stewart**. I was a graduate of Capitol Page School. However, I don't personally know the quality of the teachers there at the present time because the page school is administered by the Sergeant at Arms. We have a fine group of teachers and small classes. If a person was inclined to learn, one could get a lot of personal attention. Classes are conducted in the morning from 6 until about 9:30 a.m. But, we may want to get someone in to review the school program.

Senator **Reid**. I think that would be a good idea.

Mr. **Stewart**. That is an excellent suggestion.

Senator **Reid**. The reason that I suggest that is that the D.C. schools have their own problems, and I would hope that we are getting a good quality teacher. I would hope that these young people are coming back here—which are the best of the best and these students in order to come here, with rare exception, have the highest marks, they are good students or they couldn't come for the period of time that they do. So I would hope that we could evaluate that, some independent evaluation to determine the quality of the teachers that we are exposing these young people to.

Senator Nickles.

Senator **Nickles**. Mr. Chairman, just to add to your interest and also possibly your concern, I have real concern over the quality of education for the pages. I have got to know a couple of pages. I have asked them personally. I will have to date myself, but I think it was a couple of years ago, 2 or 3 years ago. So I asked, and the quality of education was poor. And my guess is that it probably hasn't changed that much, and I don't know that that would be attributable to one or two or more teachers. It may be because of the time involved. That is probably not the most conducive time for teenagers to be studying, between 6 and 9 o'clock in the morning, or 6 and 9:30.

Senator **Reid**. If the Senator would yield, that is the best time to learn.

Senator **Nickles**. It may be, but it is hard to learn when your eyes are closed. And I think they do have that problem. But maybe they have other problems as well, I don't know. I am not trying to be critical, because I haven't spent that much time. But just my observation, and particularly from asking a couple of pages, asking them when they were leaving, without attribution, without me writing letters saying we need to change it or anything.

As a matter of fact, I have been concerned about it enough I am not excited about the page program. I am excited about intern programs. I think the intern programs are one of the best things we can do for young people, and it is an exciting learning opportunity. But I am not, frankly, sold on the page program, for a lot of different reasons. And so maybe we should be evaluating it a little more in its entirety and whether or not it is really right to pull these kids out for—are most of them out for a semester?

Senator REID. Their junior year.

Mr. STEWART. Their junior year, yes, sir. They used to have 3 years, and now they have reduced it just to the junior year.

Senator REID. If the Senator would yield, I would suggest that maybe we have one of the local school districts, for example, Fairfax County schools is rated by all standards as one of the best in the country, and maybe you could put a few bucks in your budget and maybe have someone from Fairfax County—and I don't know the other—from Potomac, MD, they also have an excellent school district—and maybe have a team come in and evaluate our page system.

Mr. STEWART. That is an excellent suggestion and I will do that, Senator, and report back to this committee as soon as that is complete.

Senator NICKLES. Again, don't take my comments as trying to be overly critical. But it is one that, you know, if you are talking about youngsters, and I know they enjoy the opportunity, and I don't want to deny that opportunity. But as far as an education, if the kids weren't very sharp I think a lot of them would find themselves losing ground in their educational career, and we don't want that to happen. They learn a lot from being here and that probably more than compensates for the reduction in achievements through the classroom.

Mr. STEWART. I think that is true. I talk to parents and we monitor their grades. Any time a student drops below a certain level, we counsel them. The pages aren't directly under my supervision, but are under Howard Greene and Abby Saffold, the secretaries for the minority and majority. We take disciplinary action as soon as we see a problem.

Senator REID. I would just close on this area by saying that I think it is a great opportunity for young people and I think it is a choice experience. I think the tradition has been outstanding. You are an example. But I would think that we should evaluate the teaching aspect of it.

Senator Hatfield, do you have a statement you would care to make?

Senator HATFIELD. Not at this time. Thank you, Mr. Chairman.

OFFICE OF PUBLIC RECORDS REVOLVING FUND

Senator REID. Mr. Stewart, last year the committee appropriated money to create a revolving fund for the Office of Public Records. These funds are to be used to provide equipment and supplies for the Office of Public Records.

Would you give us an indication of how this is working and what the current balance is in this account?

Mr. STEWART. Senator, I think the current balance in that account is around $37,000. No money has been expended yet and we don't intend to spend any until we see what happens with the so-called Byrd amendment. As I mentioned earlier, we have received estimates on paper volume ranging anywhere from 1 to 10 million pieces of paper. Until we actually get a feel for the volume, it would not be cost effective or wise to buy equipment. When we are ready to recommend purchase of equipment we will notify this committee and the Rules Committee before we proceed to make sure we are acting in accordance with your wishes.

SENATE STATIONERY ROOM

Senator **Reid**. The stationery room has imposed a 5-percent surtax to enable it to stock more and different supplies to support the changing environment we find around here.

Is the stationery shop going to be able to keep pace with these rapid changes?

Mr. **Stewart**. Senator, I think so. The total volume is up more than 400 percent from 15 years ago, yet we still have the same number of personnel that we had 15 years ago. We have been able to hold the line on staff because of computerization and mechanization of the inventory, pricing, and check out. This is one area I am particularly proud of, that I have made a point of improving since I have been here. I appointed a new director, a person with a background in merchandising, who knows computers. I get calls from Members, their wives, and staff telling me how well it operates. We are going to work to contain costs as much as we can. We spent about $25,000 from the revolving fund to buy terminals for the computer system.

NEW LIBRARY WAREHOUSE SPACE

Senator **Reid**. Last year we discussed damage caused to books in the library's collection which were stored out in Franconia. Tell us what has happened during this past year.

Mr. **Stewart**. Fortunately, the damage was not extensive and has been repaired. Most books were all dried out and restored. The Sergeant at Arms has located about 6,000 square feet of new warehouse space for us. His staff has been extremely helpful in moving those books. We asked George White's engineering people to look at the space to make sure that there was no chance of leakage or any other damage and they gave a good report. The books are now located in new quarters and we are going to do all we can to make sure they remain safe.

SENATE LIBRARY RELOCATION

Senator **Reid**. Also last year you reported that Senators Mitchell and Ford had asked you to investigate moving the Senate library out of the Capitol.

Mr. **Stewart**. Yes, sir.

Senator **Reid**. What has happened in this regard?

Mr. **Stewart**. Senator, looking ahead we have identified three top library designers who can evaluate the needs of the Senate, the Members and their staffs and design a new library for us. But we can't move forward until we get new space allocated, until the Senate Rules Committee tells us where they would like us to relocate the Senate library. I think our move is contingent upon getting the old post office space.

Allocation of space is under the control of the Senate Rules Committee and I would be guided by the space they give me. Once we are assigned new space, we will be more than pleased to proceed with the design of the library in a way that would best accommodate the needs of the Members and their staffs.

FUNCTION OF THE SENATE LIBRARY

Senator **Reid**. The question I have always had from the days I worked back here going to school is, "Why do we have a Senate library and also a Library of Congress?" What is the different function?

Mr. **Stewart**. The Senate library's collection goes back to the Senate's first years. The Members themselves, use it quite a bit. Their staffs use it constantly. There are items which are peculiar to the legislative branch that you cannot get immediately from other sources. If your office calls the library, you will get a rapid response. Some Members use the Senate library as a place to retreat and write speeches. Also, when we are in late sessions, the Senate library stays open and available to answer any sort of reference or other questions that Members may need answered.

LIBRARY COLLECTION EVALUATION

Senator **Reid**. You said in your written testimony that a comprehensive evaluation of the library's collection is underway to determine its health, for lack of a better word, and that this study will take several years to complete.

Why does it take so long?

Mr. **Stewart**. Senator, ordinarily when dealing with a contemporary library every 10th book or so is tested for the ph of the paper to determine how long it will last, how secure the binding is, and so forth. Our collection goes back 200 years. Much of it dates back to between the late 1700's and the mid-1800's. To do a thorough job we may have to test every third or fourth book.

We have an excellent person now in charge of conservation and he is in the process of evaluating the collection. That is the estimate that he gives us. When he presents his report, we may have to come back to you and request additional funds for deacidification equipment or other treatment measures that would be necessary.

Senator **Reid**. The Library of Congress, are they working with you in this regard? Do they have their own program?

Mr. **Stewart**. They have their own program, and while they have been extremely helpful, they are not looking for any other business in this area. They have all they can handle themselves.

Senator **Reid**. The last question is, a couple of years ago we were told that mold developed in the Senate library books stored in the Adams Building in the Library of Congress. What has happened in this regard?

Mr. **Stewart**. Senator, those books were stored in a basement vault that is now kept under constant temperature and humidity control. Due to construction the air quality controls were disrupted which caused the mold to form on the books. The library and Architect were very helpful and those books have all been treated. None were lost and the vault is once again under proper temperature and humidity control. We have no further problems.

Senator REID. I have no further questions of the Secretary. Senator Nickles?

Senator NICKLES. I don't even either. Thank you, Joe.

Senator REID. Senator Hatfield?

CONSERVATION AND RESTORATION PROGRAM

Senator HATFIELD. I would like to compliment Mr. Stewart on particularly the conservation program. This country is having a disastrous loss of documents, records, books, tapes, photographs, discs. All the various forms of recordkeeping have been permitted to deteriorate without any strategy. As a former member of the Publications Commission, which instituted the first request for a Federal deacidification project, I wanted to ask Mr. Stewart if he knows the operational date of that center yet?

Mr. STEWART. Senator, I do not, but I will certainly check on it.

Senator HATFIELD. Mr. Chairman, it is a very expensive process, and we didn't suggest that the Federal Government undertake this for the entire country, public libraries, university libraries and so forth. But nevertheless, we really proceeded to set this up as a pilot project. Books and other documents could be brought to the center for a demonstration of the technology, and then perhaps we would see a proliferation of those centers throughout the country to serve private and public institutions.

But we in doing that were, of course, also aware that the Library of Congress—they have had exhibits in the past that I would urge any of my colleagues to see, if you haven't, to see how valuable documents have just absolutely fallen apart, crumbling, lost forever—is undertaking a phase-in program that will take many years to accomplish. And then right here at home in our own Senate library, Mr. Stewart, of course, in his visionary leadership saw what was happening within the Senate, within the Congress. And so he reorganized what had been really on a temporary loan basis. A small one-man staff became a two-person staff. It is now a two-and-one-half-person staff on loan from the GPO to assist in the Senate library and with other Senate documentation.

Now he has restructured that to create a focus on conservation, and with very outstanding persons who are schooled in this. In fact, the person who heads up this, a few years ago when there was that disastrous flood in Florence and some of the great documents and manuscripts of all history were undergoing restoration, he was sent there by our Government—Mr. Young—to assist that effort in restoration after the Florence flood.

So I just want to commend Mr. Stewart for this action. I really hope that you won't be hesitant to ask for resources necessary to move this program at the most expeditious rate we can. We are really almost losing this war by the hour—not by the year or the decade, but in some cases by the hour—and so I just wanted to make those comments in commending Mr. Stewart's effort.

Mr. STEWART. Thank you, sir. I did establish the Office of Conservation and Preservation. It was sorely needed. As you mentioned, we have a person in charge of this office who is not only recognized in the Senate, but worldwide, as an expert in this field. We are lucky to have him.

PREPARED STATEMENTS

Senator **Reid**. It is my understanding, Mr. Stewart, that Mr. Balderson wishes to enter a statement for the record?

Mr. **Stewart**. That is correct.

Senator **Reid**. That will be the order. Thank you very much for your cooperation.

Mr. **Stewart**. Thank you, sir.

[The statements follow:]

STATEMENT OF WALTER J. STEWART

BUDGET SUMMARY

Mr. Chairman and Members of the Subcommittee, I thank you for the opportunity to appear before you today to present the Fiscal Year 1991 budget request for the Office of the Secretary of the Senate. I would also like to take this opportunity to thank you, Mr. Chairman, and you, Senator Nickles, for your continued and consistent support of the Office of the Secretary. I look forward to working with you, the other members of this Subcommittee, and your staff, Jerry Bonham and Mark Walker, this year.

To fund the salary expenses of the Office of the Secretary for FY91, I am requesting $9,476,000, which represents an increase of $624,000 over last year's allowance. This increase covers annualization of payroll costs resulting from January's COLA, and funds certain adjustments in the legislative departments, Library and Stationery Room; a technical person to administer our local area network and vital computer systems, one new position in the Historical Office, a second Assistant Enrolling Clerk, one new position for the Office of Public Records, and one new position for Interparliamentary Services.

To fund the non-salary expenses of the Office of the Secretary, I am requesting $803,000, which is an increase of $75,800. This account enables the Secretary to carry out such administrative responsibilities as the education of Senate pages ($288,500), provision of Senate service awards pursuant to S. Res. 21 ($18,000), and to provide support services necessary for operation of the Senate Library ($120,900). A table at the end of this statement provides a detailed listing of this request.

Of the requested increase, $63,500 (83%) is needed to fund increases absorbed over the past two years in the cost of educating Senate pages. The District of Columbia has increased the cost to us of educating Senate pages by $25,000 in FY89 and $26,160 in FY90. Because of the timing of the school year contract and our fiscal year, we have been able to absorb these costs, but cannot continue to do so.

STATUS OF OFFICE AUTOMATION

After reviewing the automation needs of the Office of the Secretary, it became clear the existing NBI System was not sufficient to meet either our current or future needs. In March of 1989, we began installing a personal computer based local area network (LAN). All departments under the Secretary's jurisdiction will use the same equipment and be able to communicate electronically, yet the system has the flexibility to meet each of these office's unique needs.

At present the LAN is approximately 60 percent complete and involved the installation of over 90 personal computers. Installation should be complete early in 1990.

Other significant automation efforts undertaken last year include: (1) installation of the CAT system in the Official Reporters of Debates office; (2) automation of all functions in the Daily Digest office including transmitting the Daily Digest copy to GPO on disk; (3) scanning Riddick's Senate Procedures into machine readable format to facilitate revising the book for publication; (4) using GPO's dial-up composition system for publication of the Senate Journal and a variety of books, hearings and documents; (5) printing the Report of the Secretary of the Senate using new technology which greatly reduced production time; (6) completion of programming for the Senators' Official Personnel and Office Expense Account system; and (7) upgrading the Payroll/Personnel system.

During 1990 and 1991, we will (1) complete the LAN installation; (2) complete the conceptual design and phase I requirements analysis for a new, Senate-wide financial management system; (3) establish a high-speed fiber optic link from GPO to our Capitol offices; (4) proceed with phase II of the Congressional Record automation project, which is automating the morning business section of the Record; (5) upgrade certain equipment in the Office of Senate Security; (6) assess scanning technology as a possible alternative to using copying machines for reproduction of amendments submitted on the floor; (7) integrate Riddick's Senate Procedures database into the existing LEGIS system; (8) identify and possibly install an integrated library management system in the Senate Library; (9) identify an imaging processing system which will meet the emerging needs of the Office of Public Records; (10) upgrade the Stationery Room's Basic Four system; (11) establish electronic communications with all Senate offices having compatible systems; and (12) participate in the Senate Computer Center's continuing study to design LEGIS 2000, which will replace the current legislative information system (LEGIS).

LEGISLATIVE DEPARTMENTS

BILL CLERK

Background

The Bill Clerk records actions of the Senate, keeps an authoritative historical record of Senate business, enters daily legislative activities and votes into the automated legislative status system, and assigns numbers to all bills and resolutions.

Introduced Measures

The Bill Clerks processed about the same number of bills during the first session of the 101st Congress as processed during the first session of the 100th Congress. During the 101st Congress, 2,000 bills; 234 joint resolutions; 227 resolutions, 87 concurrent resolutions, and 1,218 amendments were submitted. This compares to the 100th Congress, first session figures of 1,998 bills, 239 joint resolutions, 353 resolutions, 95 concurrent resolutions, and 1,380 amendments.

DAILY DIGEST

Background

The Daily Digest section of the Congressional Record provides a brief, concise, accounting of all official actions taken by the Senate on a particular day. The Digest also includes a listing of all hearings and meetings of Senate committees, subcommittees, joint meetings and conferences and enters them in the LEGIS hearings file.

Chamber Activity

The Senate was in session a total of 136 days, for a total of 1,003 hours and 19 minutes. There were 11 live quorum calls and 312 record votes.

Committee Activity

Senate committees held 1,215 hearings and 269 business meetings, for a total of 1,484, contrasted with 1,146 hearings and 561 business meetings (total 1,707) during the first session of the 100th Congress.

Automation Activities

In 1989, we completed testing equipment, software and procedures for supplying GPO with Daily Digest copy on computer disk and have been sending both paper copy and the disk to GPO this year while GPO tested their procedures.

Beginning this March, the disk is being used exclusively to produce the Daily Digest portion of the Record. This important step toward automating the Congressional Record will save keystrokes at GPO, thus reducing the cost of publishing the Record. More importantly, it proved the efficacy of our plan for capturing Record data at the source and transmitting it to GPO in electronic format. GPO, Rules Committee, Joint Committee on Printing and the Senate Computer Center were all helpful in assuring the success of this crucial project.

ENROLLING CLERK

Background

The Enrolling Clerk proofreads and prepares for printing all Senate-passed legislation prior to its transmittal to the House of Representatives, National Archives, or the White House.

Enrolled Bills

During 1989, 91 enrolled bills were prepared, printed, proofread, corrected and transmitted to the President. Also, 605 pieces of legislation, in one form or another, were enacted by the Senate; each one of which required processing and printing. One-hundred and six pieces of legislation had to be assembled and "hand engrossed," which entails typing and piecing together a true and accurate copy by hand upon passage by the Senate, so it can be transmitted immediately to the House of Representatives.

Automation Activities

PC's were installed and operational in January 1990, and with the increased capability, some processing time can be saved. We are investigating the feasibility of improving our printing capability to further decrease processing time. We hope to be able to print final engrossed legislation, at our option, in the Enrolling Clerk's Office and are working with GPO and the Senate Computer Center toward that end.

EXECUTIVE CLERK

Background

The Executive Clerk prepares an accurate record of actions taken by the Senate during executive sessions (proceedings on nominations and treaties) which are published in the Executive Journal at the end of each session of Congress. This office also prepares the Executive Calendar which is printed daily when any nominations, treaties, or resolutions pertaining to executive business are pending before the Senate.

Nominations

During the first session of the 101st Congress, there were 919 nomination messages sent to the Senate by the President, transmitting 48,434 nominations to positions requiring Senate confirmation and 34 withdrawals of nominations previously sent to the Senate during this session. Of this total, 586 were for civilian positions other than lists in the Foreign Service, Coast Guard, National Oceanic and Atmospheric Administration and the Public Health Service. In addition, there were 2,978 nominees in the "civilian list" categories named above. Military nominations received this session totalled 44,870 (11,421 in the Air Force, 17,754 in the Army, 12,908 in the Navy and 2,787 in the Marine Corps). The Senate confirmed 45,585 nominations this session, with 2,762 being carried over for further action during the second session of the 101st Congress.

Treaties

Seven treaties were transmitted to the Senate by the President during the first session for its advice and consent, which were ordered printed as treaty documents for the use of the Senate (Treaty Docs. 101-1 through 101-7). The Senate gave its advice and consent to two treaties without reservation and approved seven other treaties with various conditions to the resolutions of advice and consent to ratification during the first session. One treaty remains on the Executive Calendar pending further Senate action in the second session.

Executive Reports and Roll Call Votes

Eighteen executive reports--eight relating to nominations and ten to treaties--were ordered printed for the use of the Senate (Executive Reports 101-1 through 101-18).

During the first session of the 101st Congress, the Senate had 26 roll call votes in executive session, six on the adoption of resolutions of advice and consent to ratification of treaties, and 20 on nominations.

Automation Activities

This year, for the first time, a few executive reports filed (from the Committee on Foreign Relations) were computer-generated and disks were included for a major part of the text. These were forwarded to GPO and saved the time and expense of rekeying copy. As the committees of the Senate move from typewriters to computers, this practice will increase, and result in considerable savings, and perhaps allow the printing of some reports overnight.

Treaty resolutions (often of some length) are now generated and printed via the computer.

In LEGIS, new reports were developed to produce lists of nominations pending and confirmed by committee.

Although the text of the Executive Journal and automated index still have to be produced in LEGIS, the supplements and general indexes were all generated on our PCs which has saved time and effort.

JOURNAL CLERK

Background

The Journal Clerk takes notes of the daily legislative proceedings of the Senate in the Minute Book and prepares a history of bills and resolutions for the printed Journal which is in effect the index of legislative action. The Journal is published each calendar year.

Automation Activities

In 1990, the Journal staff will begin the compilation, typesetting, and publication of the Journal Index (previously done by the Enrolling Clerks and GPO). We will test procedures during 1990 and implement production in January 1991, or sooner.

The Journal staff will be testing new automatic procedures for compiling, typesetting, and publishing the "History of Bills and Resolutions" section of the Journal. Previously, this data was taken selectively from the LEGIS system and reworked and edited by hand at the end of the year, a slow methodology subject to human error.

Being able to produce the "History" in our office would complete the final phase of the automation of the Journal. Once again, we expect substantial savings to result as we produce a more timely and accurate Journal as a result of automation.

LEGISLATIVE CLERK

Background

The Legislative Clerk is the official reader of the Senate, reading bills, resolutions, conference reports, amendments, and other material when directed by the presiding officer, calls the roll for quorums and recorded (yea and nay) votes, and prepares the Senate Calendar of Business for each daily session of the Senate.

Statistics relating to functions of the department are as follows:

	100th Cong., 1987 Jan-Dec. 1st Session	101st Cong., 1989 Jan-Nov. 1st Session
Total Measures Passed	616	605
Live Quorum Calls	36	11
Roll Call Votes	420	312

OFFICIAL REPORTERS OF DEBATES

The Official Reporters of Debates prepare and edit for publication in the Congressional Record a substantially verbatim report of the proceedings of the Senate, and serves as liaison for all Senate personnel on matters relating to the content of the Record. The Chief Reporter functions as the Editor-in-Chief of the Record.

Automation Activities

In September 1989, after testing a Computer Assisted Transcription (CAT) system for several months, all Official Reporters of Debates began using this system exclusively in the Senate Chamber. The CAT system allows Reporters to capture debate electronically, making it possible to produce the Record by electronic transmission of this data to GPO. While we are not yet transmitting electronically, the CAT system has improved productivity of both the Official Reporters and the Expert Transcribers. As they continue to gain experience and expand their shorthand computer dictionaries, their skills and turnaround time continue to improve.

Phase II of this project will begin in 1992 when we will install terminals in the Reporters' office for use by Senators and staff in correcting debate and remarks. It is anticipated that progress will have been made by this time in linking the Senate to GPO via fiber optic cable.

Currently, scanners are being tested to determine their feasibility for capturing morning business Record items in machine readable form. Initial tests have not shown optimistic results, but we expect advances in the technology this year which may move us closer to a solution. We are in the early stages of designing a pilot test where Senators, on a voluntary basis, will submit morning business items in both paper form and on disk. Once we have experience working with the scanners and the second option of items submitted in machine readable form, we can determine the most cost effective and efficient solution for automating the "Morning Business" section of the Record.

Once we have the capability to produce clean, final copy in the Reporters' office and can transmit this data to GPO via fiber optic link or diskette, we will then begin to realize truly significant savings in the cost of publishing the Record.

Producing the Record

Statistics relating to the production of the Record during the first session of the 101st Congress are as follows:

Days in Session	136
Time in Session	1,003
Congressional Record Pages of Proceedings	16,944
Measures Introduced	2,548
Presidential Messages	76
Communications	2,000
Petitions, Memorials	384

Receipt of Communications and Petitions and Memorials is a continuing function, extending through sine die adjournment and all recesses of the Senate. In addition to physically logging such items, pertinent information is fed into the computer system, printouts prepared, and the various items are then sealed and forwarded to the committee having jurisdiction.

PARLIAMENTARIAN

Background

The Parliamentarian's Office advises the Chair, Senators and their staff as well as committee staff, House Members and their staffs, administration officials, the media and members of the general public on all matters requiring an interpretation of the Standing Rules of the Senate, the precedents of the Senate, unanimous consent agreements as well as provisions of public law affecting the proceedings of the Senate, and is responsible for maintaining the practices and precedents of the Senate. The Office of the Parliamentarian is responsible for the referral of all legislation introduced in the Senate, all legislation received from the House, as well as all communications received from the Executive Branch.

The office continues to analyze and advise Senators on a great number of issues arising under the Congressional Budget Act of 1974, the Deficit Control (Gramm-Rudman-Hollings) Acts and the Byrd Rule on extraneous matter in reconciliation bills.

During 1989 a concerted effort was begun to publish a revised edition of Riddick's Senate Procedure in 1990. New technology (PCs and scanner) offers the promise of expediting this project and being able to add the book text to the LEGIS system.

OFFICE OF PRINTING SERVICES

Background

The Office of Printing Services (OPS) is the liaison to GPO for virtually all Senate printing, with the exception of the Congressional Record. Accordingly, OPS coordinates and schedules printing of all Senate bills, resolutions, amendments, calendars, and reports for the Chamber, provides page counts of Senate hearings to commercial reporting companies, orders and tracks all paper and envelopes provided to the Senate, provides electronic composition for various Senate publications and miscellaneous items, and assures that Senate printing is in compliance with Title 44, U.S.C.

Senate Publications and Hearings Transcripts

During the first session of the 101st Congress, 419 publications were printed. This compares with 438 publications printed during the first session of the 100th Congress, for a decrease of about 4%.

Additionally, staff provided commercial reporting companies and Senate committees with a total of 1,612 page counts (a page count is the vehicle used by reporting companies to request payment for their services) for Senate hearings. This compares with 1,219 page counts in 1988, and is an increase of about 30%.

Paper Quotas

The passage of S. Res. 212 reinstated quotas for paper, letterhead, and envelopes as they were prior to February 1989, and became effective for all Senate offices on January 3, 1990.

Printing Services works with the Joint Committee on Printing, the Rules Committee and all Senate offices to resolve problems with paper stock quality and manufacturer's performance.

Recycled Paper

A number of Senators requested recycled paper for use in their official correspondence. Since August 1989, 95% of the paper used for Congressional publications contains at least 50% recycled fibers, and copier paper is currently undergoing tests in an effort to include it within existing guidelines.

Automation Activities

The Senate Computer Center is working with OPS to automate the generation of requisitions which will greatly improve efficiency and provide ease of access to information required to research job status and answer queries from Senators' offices, committees, and GPO. Scheduled completion of this project is spring of 1990.

In November a Kurzweil scanner was installed in the office to facilitate production of committee hearings, and publications such as Riddick's Senate Procedure. Scanning is faster than keyboarding and relates directly to lower job costs both within this office and at GPO. Each time we send GPO a file of scanned, proofread, and electronically composed material, we have saved the Senate money at the rate of at least $47 per hour, which is GPO's charge. Additionally, if GPO proofreads a job, which they would normally do if they did the keyboarding, there is another charge of $45 per hour, for a possible total savings of $92 per hour.

Installation of the Kurzweil scanner gave us the opportunity to provide Senate committees major savings. There have been 456 hearings which required a hand count. A hand count (as opposed to an automated count) is required when a reporting company submits manuscript copy of a hearing rather than a computer tape or disk, and is usually the result of a field hearing. When the committee begins the printing process, the manuscript is sent to GPO for keyboarding, copy preparation, and proofreading. GPO charges $92 per hour for these services. With the installation of the scanner, we were able to scan the manuscript and capture it on disk, thereby saving the committees keyboarding and proofing charges at GPO. Based upon 456 hearings, this equates to a savings of $41,952 for the committees.

The importance of the composition system becomes more apparent when consideration is given to a partial list of the publications we have composed with it: Historical Almanac of the United States Senate, Bibliography of United States Senators, Directory of All Senators Who Have Served in the United States Senate, List of Standing Committees of the Senate, Security Awareness, and shortly, Riddick's Senate Procedure.

The composition system and scanner enabled us to save the Senate significant sums, while providing the Senate higher quality printing in a more efficient manner.

ADMINISTRATIVE OFFICES

DISBURSING OFFICE

Background

The Disbursing Office compiles Senate budget estimates for presentation to the Committee on Appropriations, maintains all Senate appropriated funds and all Senate payrolls, interprets and carries out all matters related to budgeting, appropriations, compensation, payroll deductions, retirement, life and health insurance, and other employee benefits authorized for Members and employees of the Senate.

Payroll Section

In 1989 the cost of living increase was processed entirely on the Payroll/Personnel System. A batch processing system was created reducing the time required to research and process cost of living letters by 50%.

The Report of the Secretary of the Senate was processed for the first time using new printers, which greatly increased efficiency.

The project of microfilming permanent payroll records continues. All reports, which were stored in the office, have been filmed producing 3,000 feet of microfilm and approximately 180,000 pages. During 1990 the remaining payroll reports stored in the Alexandria warehouse will be microfilmed.

The Payroll Section processed two Thrift Savings Plan (TSP) open seasons during the year. Procedures for the TSP transmittal to the National Finance Center were changed so that the tape data arrives in New Orleans on payday. The Thrift Savings Plan has placed more restrictions on how they will be received, causing a temporary return to some manual preparation of data.

The Department of the Treasury revised their criteria for issuing payroll checks, causing a change in the order the checks are printed. Previously, payroll checks were issued and mailed in zip code order, but with the new Treasury requirements, our ability to print checks in zip code order was eliminated. Now, in order to accurately report check numbers for stop payments, the Senate's checks are issued in Social Security Number order, which may increase the Postal Service's delivery time. Convenience and popularity of

Electric Funds Transfer through the Federal Reserve System is evident by the growing number of Senate employees who select this option.

Financial Management System (FMS)

The Disbursing Office currently meets its financial management and accounting responsibilities by using several separate, incompatible systems and manual processes. A task force has been formed to prepare the conceptual design of a new standardized, integrated and comprehensive Senate financial management system which would move the Senate to an accrual-based accounting system to improve financial accountability, provide electronic communication with all offices, and dramatically reduce the flow of paper. The task force is considering the use of scanners to digitally capture documents (invoices, etc.), electronically prepare and transfer vouchers and related documents, fully automate accounting and auditing functions, and provide for direct payment of vendors and appropriate security measures vital to the integrity and functioning of such a system. This is a major project which will require five to ten years to complete. The conceptual design is to be completed this spring, and Phase I of the requirements analysis is to be completed by year-end.

Employee Benefits Section (EBS)

Attendance at the second annual Federal Employees' Health Benefits (FEHB) Open Season Health Benefits Fair more than doubled, totalling over 750 participants.

Many HMOs (Health Maintenance Organization) and Aetna, formerly one of the governments two biggest health insurance carriers, declined to continue offering health insurance through our program. However, many new HMOs entered the program and over 1,000 people (one-seventh of our total employee population) changed their health insurance.

New FEHB laws established the Temporary Continuation of Coverage program which allows terminated employees, and former children and spouses of employees to continue their FEHB coverage. During 1989, Disbursing Office staff represented the United States Senate in a special Inter-Agency Advisory Group assigned to consider how best to implement the program. The Group was instrumental in helping establish the current interim regulations and a special government-wide contract with the USDA's National Finance Center to process the multitude of enrollments which are envisioned. This program became operational in January 1990.

The Federal Employees' Group Life Insurance (FEGLI) program had no programmatic changes. New FEGLI rates for retirees went into effect January 1, 1990 for employees terminating after December 31, 1989.

A Members' CSRS Pamphlet outlining benefits was written and published this year because the Office of Personnel Management (OPM) does not such offer a service.

Voucher Audit Section

Staff revised the "Official Office Expense Account Seminar Handbook" and mailed a copy to all offices.

As a result of committees biannual budgets, a new 12-part voucher had to be developed and introduced to all committee clerks. A seminar, jointly hosted by the Committee on Rules and Administration and the Disbursing Office, was conducted to present the new form.

The same number of vouchers were processed by mid-November, 1989 as had been processed for all of 1988, for a 1989 total of approximately 50,000 vouchers, an 11% increase over the previous year.

During the upcoming year, staff will revise the "Committee Voucher Handbook," and pursue the adoption and implementation of a simplified expense voucher form for the Office of the Sergeant at Arms.

Accounting Section

The Treasury Department's limited payability requirements were implemented and procedures established to limit the time in which a government check can be negotiated to one year from the date of issuance.

DOCUMENT ROOM

Background

The Senate Document Room distributes documents and related material to the general public, the press, and various government agencies. Throughout the year the Senate Document Room maintains hundreds of copies of all Senate and House bills and documents and maintains copies of all public laws, Senate reports, and House reports for the past 20 years.

Requests are received by phone, at the walk-in counter, through the mail, and from the 24 hour-a-day recorded message service.

The annual statistics for the Senate Document Room for 1989 show that the Document Room received 114,580 requests by phone, for an average of 490 calls per day; 24,415 requests by mail, and approximately 103,540 walk-in customers, which includes about 5,000 students sponsored by the Close Up Foundation. During 1989, messengers from the Document Room delivered 85,488 envelopes containing documents to all Senate offices.

Initiatives for Fiscal Year 1991

In FY91 a new program, "Better Service Through Education," will be in place to train Document Room staff on relevant computer systems and legislative procedure because 80% of all daily requests for documents are for material currently being considered by Senate or House committees or in the Senate or House Chamber.

In addition to this employee development program, staff members are assigned to attend Senate and House proceedings for short periods to gain a better understanding of current legislation and Senate procedures.

Employees of the Document Room also attend legislative seminars jointly sponsored by the Secretary of the Senate and the Sergeant at Arms.

Close Up Students

In FY91, the Senate Document Room will again participate in a program to assist Close Up students from various parts of the country. This program, sponsored by the Close Up Foundation, conducts week-long series of seminars on government and politics for secondary school students, teachers, and senior citizens from communities throughout the country. In the past year, approximately 5,000 Close Up students were helped by the staff of the Senate Document Room.

SENATE LIBRARY

Background

The Senate Library provides both traditional and computerized information services, maintains a comprehensive collection of Congressional, governmental, and other publications for the use of Senators and staff and other authorized personnel.

Total number of inquiries, number of visitors, and the number of acquisitions decreased in comparison with the record-breaking totals of the year before, but remained consistent with statistics for the first session of the 100th Congress. On the other hand, reference inquiries were very near the record-breaking total of last year and database searching increased 36%; photocopies were up 3% and the use of the Micrographics Center increased 68%.

Library Relocation

The Senate Library will be moved to the Dirksen Senate Office Building at such time as space becomes available. As a result of this decision, the renovation of the Library's attic space, begun in March 1988, was halted; estimates of the Library's future need for space were projected; and a search for a library design consultant was undertaken. The design consultant will be hired when the projected move date is known.

LEGIS Service

The LEGIS staff answered over 66,000 requests from Senate offices for information about the subject matter, sponsorship and status of bills, resolutions and public laws and about Senate action on treaties and nominations. While this total represents a 27% decline in activity from the previous year, it is typical of the levels of first sessions of new congresses.

LEGIS Inquiries, 1980-1989

Fiscal Year	Congress/ Session	Number of Inquiries	Change From Previous Year	Change From Same Session of Previous Congress
1980	96/2	79,072	+70%	+40%
1981	97/1	61,643	-22%	+32%
1982	97/2	89,860	+46%	+14%
1983	98/1	77,352	-14%	+25%
1984	98/2	98,845	+28%	+10%
1985	99/1	59,605	-39%	-23%
1986	99/2	74,506	+25%	-25%
1987	100/1	67,610	- 9%	+13%
1988	100/2	90,733	+35%	+22%
1989	101/1	66,332	-27%	- 2%

LEGIS staff participated in discussions on the design and development of LEGIS 2000, the long-awaited upgrade of the Senate legislative information tracking system, and assisted in a variety of special projects.

Reference Service

The reference librarians almost matched last year's record-breaking levels, and exceeded levels for the 100th Congress, 1st session, by handling over 15,000 requests for legislative materials, for biographical information on nominees and other background information on a wide variety of topics, for computer searches of magazine and newspaper articles, and for quotations, voting information and statistics.

Reference Inquiries, 1979-1988

Fiscal Year	Congress/ Session	Number of Inquiries	Change From Previous Year	Change From Same Session of Previous Congress
1980	96/2	12,644	+37%	+61%
1981	97/1	12,227	- 3%	+33%
1982	97/2	13,442	+10%	+ 6%
1983	98/1	12,102	-10%	- 1%
1984	98/2	13,172	+ 9%	- 2%
1985	99/1	11,129	-16%	- 8%
1986	99/2	12,589	+13%	- 4%
1987	100/1	14,164	+13%	+27%
1988	100/2	15,276	+ 8%	+21%
1989	101/1	15,121	- 1%	+ 7%

The reference requests paralleled major events and issues confronting the Senate during the year, including the Tower nomination (and the nominations of scores of officials in the Bush Administration), two impeachment trials, Medicare catastrophic health insurance, the capital gains tax cut, the Congressional pay raise issue, disaster assistance in the wake of Hurricane Hugo and the San Francisco earthquake, and the Panama Canal invasion.

Reference staff participated in a GPO-established committee to study the feasibility of producing the Congressional Record both online and in CD-ROM; evaluations of the committee resulted in a decision to abandon an online Record and to go forward with the development of a CD-ROM format.

Automation Activities

Several in-house databases were designed for the Library by Library staff to track the acquisition and processing of Congressional hearings, prints and publications and to monitor and control inventory.

Library staff are developing an automated circulation system to be used until installation of an integrated library system. The circulation system is being tested now and we are optimistic that this home-grown system can meet our needs throughout this year.

Binding and Conservation Unit

New Department

Because of the growing demand for conservation and preservation work, in addition to the more traditional binding requirements, in January the Office of Preservation and Conservation was created. This office, which was the bookbinding unit of the Library, will continue to serve the Library, Curator and Historian, and will work closely with the Senate Archivist who is just beginning an inventory of all Senate records stored at the National Archives.

In addition to the routine binding and conservation projects done for the Library, many special projects were undertaken, the most significant of which was the assistance provided to the Curator's Office in mounting and dismounting a very large exhibit celebrating the Bicentennial of the Senate.

Deacidification and Mylar Encapsulation

The Bookbinder is surveying the Senate Library's collection and other documents under the Secretary's control, to assess the need for mass deacidification. This survey, which is tedious to perform with existing equipment and manpower, is scheduled to be completed in three years. We have the capability ourselves, but extensive deacidification requirements would necessitate finding other alternatives.

The survey will encompass pH, fold endurance of the paper, and the physical condition of the binding structure. When completed we will be able to determine how much of the collection will require mass deacidification.

Our office has been doing mylar encapsulation since 1975. This has become a recognized technique for protecting fragile as well as encasing original documents for exhibit. Many of the original documents in the "A Necessary Fence..." exhibit were mylar encapsulated.

Disaster Preparedness

In 1988 our office was able to adequately respond to water damage to volumes of the Senate Library stored in Franconia, Virginia. This was due in part because the number of volumes effected was comparatively small, and we had a Disaster Preparedness Plan. However, trying to maintain the level of response necessary to carry out a large scale salvage operation would be difficult and costly. The Senate Library and other offices under the jurisdiction of the Secretary have access to a full-service disaster recovery company who would be available in the event a major disaster caused by fire and/or water, bombing, etc.

Inaugural Projects

Assistance was provided to the Curator's Office in the preparation and installation of their exhibit "Hail to the Chief."

For the Inaugural Committee, 180 double matted and captioned photographs of the swearing-in ceremony were prepared for the Inaugural luncheon in Statuary Hall.

Library Aide Unit

With the completion of Phase One of the attic renovation, the book collection and the government documents collection were transferred, thus permitting the reconsolidation of other portions of the collection which had temporarily been placed in off site storage, consisting primarily of Senate and House hearings and committee prints, and Serial Set volumes. While the collection remains in three locations, efficiency has been improved through reorganization.

GSA Warehouses in Franconia and Alexandria

A search was begun in summer 1988 to acquire new warehouse space in order to remove the books stored in the Franconia warehouse, the roof of which had leaked causing water and mold damage to several hundred volumes of the collection. In July, the Sergeant at Arms acquired for the Library approximately 5,000 square feet of warehouse space in Alexandria, and the transfer of the books from Franconia back to Alexandria was completed in September. The Sergeant at Arms and his staff have provided invaluable assistance in this effort, and will be maintaining this warehouse space for us.

Library of Congress Storage Area

In December 1987, the Secretary requested the assistance of the Library of Congress and the Architect of the Capitol to design enhancements for ventilation, lighting and fire protection in this underground storage space in the Adams Building of the Library of Congress. In response, drawings were prepared for an improved design, and work began early in 1989.

The primary concern was to provide reliable climate control in order to prevent a recurrence of the hot and humid conditions which caused mold development in summer 1987. The new heating and air conditioning system installed as part of the Adams Building renovation went into operation in May 1989; since then the temperature and humidity levels have been satisfactory, and the new ventilation appears to have stabilized the situation.

OFFICE OF SENATE SECURITY

Background

The Office of Senate Security (OSS) was established by S. Res. 243 (100th Congress, 1st Session). The Office is responsible for the administration of information, personnel, communications and computer security programs in Senate offices. In addition, OSS serves as the Senate's liaison to the Executive Branch in matters relating to the security of classified information in the Senate.

Limitations on Staff Security Clearances

In accordance with the S. Res. 243, limits were imposed on the number of Senators' staff who may hold security clearances, effective January 1, 1990. Such limitations, a primary goal of S. Res. 243, have never before been imposed on Senate offices. All offices have been informed of these limits by the Joint Leadership, and affected offices have begun to terminate staff security clearances, as required.

SENATE STATIONERY ROOM

Background

The primary function of the Stationery Room is to provide stationery and office supplies for Senators' offices and committees of the Senate.

Many of the supplies are purchased through competitive bids, GSA, or special orders placed with various vendors in the area as well as those located throughout the United States.

We are continually working with the Sergeant at Arms and the Architect of the Capital to improve current warehousing conditions at both on site and off site locations.

Laser printer and computer supplies have been expanded to accommodate the demand created by installations of additional equipment by the Senate Computer Center.

Automation Activities

Four projects are currently under investigation: the need to (1) upgrade the application software for the Basic Four system; (2) replace the five year old tape drive used to backup the Basic Four system; (3) investigate converting our inventory control system to the standard barcode technology utilizing the Uniform Product Code (UPC) symbology; and finally, (4) upgrade the Basic Four system hardware. We expect to make recommendations on these items later this year.

OFFICE OF INTERPARLIAMENTARY SERVICES

Background

The Office of Interparliamentary Services (IPS) has completed its eighth year of operation as a department of the Secretary of the Senate. IPS is responsible for administrative, financial, and protocol functions for all interparliamentary conferences in which the Senate participates by statute, interparliamentary conferences in which the Senate may participate on an ad hoc basis, and special delegations authorized by the Majority and/or Republican Leader. The office also provides appropriate assistance as requested to other Senate delegations.

The interparliamentary conferences in which the Senate participates by statute are North Atlantic Assembly; Interparliamentary Union; Mexico-United States Interparliamentary Group; and Canada-United States Interparliamentary Group. Responsibilities for IPS also continue with the Leadership sponsored Arms Control Observer Group.

In addition, the office handled the first official visit to the Senate in 11 years by the Supreme Soviet of the U.S.S.R.

The office has been asked to provide logistical planning and support for the Interparliamentary Conference on the Global Environment which will be held in Washington in April 1990.

Planning is also proceeding on an exchange with the British-American Parliamentary Group slated to be in the United States next year.

As in the past, all foreign travel authorized by the Leadership, for Senators and staff, is supported and monitored by IPS. Also, Senators and those staff authorized by committees to travel continue to call upon the Interparliamentary Services staff for assistance in connection with official travel and reporting requirements.

IPS receives and prepares for printing the quarterly financial reports for foreign travel from all committees in the Senate. The IPS staff prepare these reports for the Majority Leader, the Republican Leader, and the President Pro tempore.

The Leadership, many Senate committees, and individual Senators utilize the experience of the IPS staff in areas of protocol. The office maintains regular contact with the Office of the Chief of Protocol, Department of State, and with Embassy officials.

It is in this area that the volume of work has expanded tremendously. As the services of IPS become more widely known throughout the Senate, the Executive Branch, and diplomatic Washington, more and more official foreign visitors contact IPS for assistance. To reciprocate the courtesies shown to Members of the Senate when they travel abroad, we plan to implement comprehensive programs to introduce visiting Members of Parliaments to the Senate's legislative process and administrative support systems.

On behalf of the Leadership, IPS made arrangements for 11 Heads of State or Heads of Government in 1989.

OFFICE OF PUBLIC RECORDS

Background

The Office of Public Records receives, processes, and maintains records, reports, and other documents filed with the Secretary of the Senate involving the Federal Election Campaign Act, as amended; the Federal Regulation of Lobbying Act; the Senate Code of Official Conduct: Rule 34, Public Financial Disclosure; Rule 40, Registration of Mass Mailing; Rule 41, Political Fund Designees; and Rule 41(6), Supervisor's Reports on Individuals Performing Senate Services; and Foreign Travel Reports.

The office provides for the inspection, review, and reproduction of these documents. From October 1988 through September 1989, the Public Records office staff assisted more than 1,300 individuals seeking information from reports filed with the office. This figure does not include assistance provided by telephone, nor help given to lobbyists attempting to comply with the provisions of the Federal Regulation of Lobbying Act. A total of 201,878 photocopies were sold in the period. In addition, the office works closely with the Federal Election Commission and the Select Committee on Ethics concerning the filing requirements of the aforementioned Act and Senate rules.

Current Projects and New Initiatives

The Ethics Reform Act of 1989, P.L. 101-194, changed several existing requirements of the Ethics in Government Act of 1978 and the office has been working with the staff of the Select Committee on Ethics to assess the impact of these changes.

Effective October 23, 1989, Public Law 101-121, requires Federal agencies to compile information with respect to the use of unappropriated funds to influence certain Federal contracting and financial transactions, and forward this information to the Public Records Office semiannually on May 31st and November 30th. These agency filings are to be in machine-readable format by May of 1991, but will be provided in hard copy for the first two filing periods. The volume generated by this new filing requirement is unknown (estimates range from 1 million to 10 million sheets of paper per filing period); and the latter portion of FY 1989 and FY 1990 to date have been devoted to assessing the needs of the office regarding these filings. To ease the financial burden that is expected by the new office activity, P. L. 101-163 provided for the establishment of a revolving fund for the Public Records Office financed by the sales of photocopies and film.

Automation Activities

During FY 1989, the Senate Computer Center has been reviewing and updating the computer systems used by Public Records. The campaign indexing system, and portions of the disclosure system have been streamlined to better assist the public and make more efficient use of Public Records personnel. The Public Records office has also been consulting with the Senate Computer Center regarding the impact of P. L. 101-121, which is expected to severely test, if not overwhelm, the existing systems of the office.

Federal Election Campaign Act, as Amended

Senate candidates were required to file semiannual reports under the Act. Filings totaled 1,809 documents, containing 76,172 pages.

Federal Regulation of Lobbying Act

Of the 31,003 lobbyists registered under the Act, 6,717 lobbyists are currently active and reporting to the office on a quarterly basis. From October 1988 through September 1989, 40,119 reports totaling 93,362 pages were filed, processed and made available to the public.

Public Financial Disclosure

The filing date for Public Financial Disclosure Reports was May 15, 1989. The reports were available to the public and press by Friday, May 19th. Copies were provided to the Select Committee on Ethics and the appropriate State officials on the same day. A total of 1,050 reports were filed containing 18,800 pages. There were 448 requests to review or receive copies of these documents.

Registration of Mass Mailing

Of the 87 Senators who registered mass mailings under Senate Rule 40, the number of pages filed exceeded 6,100.

SPECIAL DEPUTY, FEDERAL ELECTION COMMISSION

Background

The Secretary, as an Ex-Officio Commissioner of the Federal Election Commission, is represented through the Special Deputy in all Federal Election Commission activities. The responsibilities of the Special Deputy include participation in the open and executive sessions of the Commission. The Special Deputy, as a Commissioner, contributes to virtually all aspects of the work of the Commission other than voting. The Special Deputy is assigned to work on a daily and continuing basis at the Commission.

Meetings

In calendar year 1989 the Commission held 43 executive sessions. In calendar year 1989 the Commission opened 214 enforcement actions and closed 218 enforcement actions. The Commission was involved in 57 court cases, 44 of them initiated by the FEC and 13 cases which were filed against the FEC.

The Commission held 32 open meetings in calendar year 1989. Additionally, the Commission held one public hearing (proposed debt settlement regulations) in calendar year 1989.

Congressional Oversight

The Commission made four formal appearances before various committees of the Congress in calendar year 1989. These included the Senate Committee on Rules and Administration; the House Administration Subcommittee on Elections, and the House and Senate Appropriations Subcommittees on Treasury, Postal Service and General Government.

Regulations

In calendar year 1989 the Commission finalized two regulations, one dealing with Trade Association Solicitation and the other with Affiliation and Earmarking. An additional regulation concerning the prohibition of expenditures (as opposed to contributions) by foreign nationals in connection with all elections will become final in the next few weeks. The Commission also is considering the promulgation of regulations involving allocation of "soft" and "hard" money in elections where both federal and non-federal candidates are on the ballot, bank loans to candidates and political committees, extensions of credit and debt settlement, and disclaimer notices. The National Right to Work Committee, a not-for-profit corporation, petitioned the Commission for rule making in calendar year 1989 asking that "express advocacy" involving a candidate be a criterion in determining if a violation of the Federal Election Campaign Act has occurred wherein corporate or labor union expenditures are made in a political context. The Committee's petition was pending as of February 1990.

The Commission issued 27 advisory opinions in calendar year 1989. Three advisory opinion requests did not result in the issuance of advisory opinions due to deadlock votes of the Commission.

HISTORICAL OFFICE

Background

The Senate Historical Office collects and provides information on important events, dates, statistics, precedents, and historical comparisons of current and past activities of the Senate for use by Members' offices, the media, scholars, and the general public.

The Documentary History of the United States Congress

This project, proposed to be conducted by the Senate and House historical offices, would collect and publish documents explaining the institutional development of the Senate and House of Representatives from their origins in 1789 to the present.

An eight-volume Senate series, would focus on major topics including elections, officers and administration, party organization and leadership, committee organization, confirmation of nominations, treaty approval, standing rules, and standards of conduct. A seven-volume House series and a six-volume joint series would complement the Senate portion of this project.

Bicentennial Commemorations

In 1989 the Historical Office provided extensive support to public programs associated with the Senate's 200th anniversary. This support entailed:

- conducting a two-day conference on opportunities and strategies for research on the United States Congress;
- planning a Joint Meeting of Congress on March 2, and a special session of the Senate on April 6;
- advice and photographic materials for the Public Broadcasting Service documentary film entitled "The Congress;"
- preparation of text for the catalog that accompanied a major Senate exhibition: "A Necessary Fence, The Senate's First Century...;"

- preparation of an essay on "The Bicentennial Inauguration, 1789-1989" for the program distributed at the 1989 Presidential inauguration; and
- support of the U.S. Mint's efforts to design and promote coins commemorating the Congressional bicentennial.

Biographical Directory of the United States Congress

Planned as a major contribution to the commemoration of the Congressional bicentennial, the Biographical Directory of the United States Congress, 1774-1989 was published on January 26, 1989, after six years of research and editing. The Historical Office has continuing editorial responsibility for revising and updating the nearly 1,800 entries for former and current Members of the Senate.

Bibliography of Works By and About Senators

During 1989, work continued on a 2,500-entry bibliography of works by and about former Senators. This information will be published in 1990 as a major reference book.

Guide to Research Collections of Former United States Senators

Publication of a second edition of the Guide to Research Collections of Former United States Senators is expected in 1990. Since 1983, more than 800 new or recently discovered Senatorial collections, changes in status of collections, and changes in statistics such as dates of death, have been gathered and organized for inclusion in the new edition. Information on the papers of the nearly two dozen Senators who have left the Senate in the past seven years has also been prepared for the new volume.

Senator Byrd's History of the Senate

On February 23, 1989 the Government Printing Office published Senator Robert C. Byrd's The Senate, 1789-1989: Addresses on the History of the United States Senate. During 1989, the Historical Office worked with Senator Byrd on the chapters that will comprise Volume Two. This second volume, to be published in 1990, focuses on major topics associated with the Senate's Constitutional and institutional development.

Further Volumes of Senator Byrd's History of the Senate

At Senator Robert C. Byrd's request, the Historical Office plans to begin research for the third and fourth volumes in his history of the Senate series. The third volume will present a compilation of contemporary observations about the Senate, written over the course of nearly two centuries, drawn from diaries, correspondence, newspaper and magazine articles, essays, and other primary sources.

The final volume will consist of a series of lists, tables, and charts that provide factual and statistical information on the Senate's development from 1789 through 1989. Among the approximately 75 categories to be included in this work are lists related to Senators' service (longest, briefest, as cabinet secretaries, on Supreme Court, elected without previously holding public office), lists of committee chairmen, nominations rejected by the Senate, Senate disciplinary action against Members, and Senate "firsts."

Senator Bob Dole's Senate Bicentennial Minutes

During the 100th Congress, Senate Republican Leader Bob Dole inaugurated a series of "Senate Bicentennial Minutes" to commemorate the first 200 years of the Senate's history. He delivered 296 of these brief addresses, each of which focused on a personality or event significant to the Senate's institutional development. In 1989 the Historical Office edited these addresses and selected 186 photographs for publication in book form during January 1990.

Guide to Senate Records at the National Archives

In February the Legislative Archives Division of the National Archives, in cooperation with the Historical Office, published the first comprehensive guide to the 2,300 cubic feet of official Senate records at the National Archives. In 1990 the Historical Office will assist the National Archives with the preparation of related reference guides, and we will begin a comprehensive inventory of these records.

Senate Foreign Relations Committee Historical Series

The Associate Historian continued editing the previously closed and classified hearings of the Senate Foreign Relations Committee. He completed work on Volume XVII, covering 1965, which should be published in early 1990, and is currently editing hearings for 1966.

Oral History

The Historical Office continues to conduct oral history interviews with retired senior staff members to supplement the documentary record of the modern Senate. The Office also monitors and cooperates with oral history projects being conducted with former Senators at various universities and state historical societies. This year the Office inaugurated a program to interview former Senators, beginning with George Smathers of Florida.

Senate Committee and Administrative Office Records Management and Disposition Assistance

The Senate Archivist continues to provide extensive archival and records management assistance to all Senate committees and subcommittees. This service includes identification of permanent records, administrative and professional staff briefings, record surveys, assistance with the preservation of information on computer systems, and preparation of files for transfer to the National Archives. During the past year, 1,184 cubic feet of committee and administrative records were transferred to the National Archives.

A project is underway to survey and compile a disposition manual for records of offices under the Secretary of the Senate's jurisdiction. This project is also identifying vital Senate records that should be retained in a duplicate form off site and permanent records that need to be created on "permanent" (acid-free) paper. This will be the first comprehensive manual for these offices, and as such will assist in improving overall administration.

Senators' Office Records Management Assistance

The Office continues to offer assistance to Members in the management of their office files and personal papers. This includes surveying and identifying records of historical value, preservation of electronic records, locating repositories, reviewing deeds of gift and deposit agreements, providing assistance with records transfers, and serving as liaison with Congressional repository archivists around the country.

The Office is also revising the 1985 edition of *Records Management Handbook for United States Senators and Their Repositories*. The new edition will include a discussion of the function of personal offices and corresponding files, and an update of the disposition of computer records.

Senate Photographic Collection

The Office's extensive photographic collections continue to be heavily used, especially by scholars, book publishers, and television producers. The Robert Byrd and Bob Dole book projects have made extensive use of this unique photo archive.

CURATOR OF ART

Background

The Office of Senate Curator was established in 1968 to implement the policies of the U.S. Senate Commission on Art. Its responsibilities are closely related to the museum programs of the Senate for the Capitol and the Senate office buildings.

With the establishment of the United States Capitol Preservation Commission (P.L. 100-696, 100th Congress), the Commission on Art became the designated recipient of objects with Senate association, received by the Preservation Commission.

Major Activities

The second session of the 101st Congress marks the mid-point of the five-year bicentennial commemoration of our Federal Constitution. Included in the programs and activities taking place in 1990, is a panel exhibit based on the major bicentennial exhibition, "A Necessary Fence...": The Senate's First Century, which will be distributed to museums, libraries and historical societies nationwide; a dramatic production drawn from the major issues and debates of the 19th century Senate, to be presented in the Old Senate Chamber of the Capitol; and the showing of a series of motion picture features and television productions based on the U.S. Senate, drawn from the collections of the Library of Congress.

A new exhibition, "Life Under The Dome," is being installed in the Senate wing of the Capitol in 1990. This display of 19th century engravings of the building's interior has been selected from the print collection of the Senate and provides graphic documentation of the many worlds that existed within the institution during the last century.

In 1982, the Study Group on the Commemoration of the United States Senate Bicentenary proposed an exhibition devoted to the Senate's first century, featuring a wide range of documents, paintings, sculpture, drawings, cartoons and memorabilia. After seven years of research and development, "A Necessary Fence...": The Senate's First Century, opened to the public on June 7, 1989.

SEMINARS AND ORIENTATION

During 1989, the Office of the Secretary, in conjunction with the Office of the Sergeant at Arms, continued to provide seminars several times a month to

Senate staff on such subjects as: Records Management in Senate Offices; Legislative and Parliamentary Procedure in the Senate; the Amendment Process; Authorization and Appropriations Process; Conference Committee Procedures; the Budget Process; the Federal Election Commission; Ethics and Reporting Requirements; Legislative Counsel; Voucher Preparation; Services of the Library; Supervising Interns; Security Procedures; Handling the Mentally Ill Visitor; Self-Defense (for those who work after hours); Resume Workshops; Effective Writing; Closing a Senate Office; Archival Disaster Plans; Office Organizational Skills; How to Use the Telecommunications Device for the Deaf; and History and Traditions of the Senate. In addition, working lunches were held several times during the year for personal secretaries and receptionists and chief clerks. The Secretary, through the Seminar Program, assists CRS with District/State Staff Institute, held several times a year.

The Intern Orientation Program was held several times to meet the needs of interns arriving throughout the year.

The Senate elections of 1988 brought many new employees to the Senate, necessitating an intense schedule of seminars during early 1989. The seminar program introduced the Senate Code of Conduct program at that time and continued to sponsor it and related programs (e.g., Franking Privileges) several times a year.

Video Programs

The Stennis Center agreed to assist us in producing broadcast quality, educational videotapes on the legislative process which will be used in the seminar program and can be shown on the closed-circuit TV system here in the Senate. A memorandum of understanding is currently being negotiated and it is anticipated scripting can begin in the fall. Senators will be able to provide these educational tapes, at minimal cost, to schools, college and civic groups in their states.

In late 1989 the Recording Studio began to tape the seminars for use on the Senate's information TV channel.

EMPLOYEE DEVELOPMENT

The Secretary's Office has consistently, over many years, enjoyed a low turnover rate among its staff, many of whom are highly trained with unique expertise upon which the daily functioning of the Senate is dependent. In order to prevent this turnover rate from increasing, department heads are encouraged to develop creative ways in which employee skills can be kept current and to find ways to improve the skills of each employee. In addition, we have used the seminar program jointly sponsored by the Sergeant at Arms and the Secretary to bring the services we offer to the Senate staff community and, where appropriate, to train Senate staff in the most efficient use of our services.

Employees are encouraged to participate in seminars, workshops, professional organizations and to maintain professional relationships with other specialists in their field. All staff are encouraged to receive training in the legislative process whether or not they are directly involved with it. Training in the use of computers and specialized software packages is available to all employees and is quickly becoming a requirement. Those staff with an interest in automation are encouraged to pursue programming or other technical interests which may directly benefit the Senate. When possible, schedules are arranged to allow continuing education at local universities.

Just as important, every effort is made to accommodate dual career families with children, work with day care schedules, provide maternity and paternity leave and offer flexibility in scheduling. It is interesting to note that many of our foreign guests are interested in the Senate's employee development programs and want to emulate our programs in their national legislatures.

I have had the good fortune to inherit a well-trained, dedicated and hard-working staff who perform important duties for the Senate and Senators. I will continue to support and encourage employee management and development efforts so that this trust remains sound and in place for the next Secretary.

OFFICE OF THE SECRETARY OF THE SENATE

	FISCAL YEAR 1990	FISCAL YEAR 1991	INCREASE/DECREASE
SALARIES, OFFICE OF THE SECRETARY			
Total Obligations for Fiscal Year 1990	$8,852,000		
Fiscal Year 1991 Request		$9,476,000	+624,000
inancing:			
Less unobligated balance, start of period	-0-	-0-	-0-
Appropriation	$8,852,000	$9,476,000	$+624,000

EXPENSES, OFFICE OF THE SECRETARY

	1990 Appropriation	1991 Budget Request	Increase/ Decrease
Historical Office:			
Books and Documents	$ 1,900	$ 1,900	-0-
Photographic Supplies	6,200	6,200	-0-
Library:			
Online Information Services	50,400	49,000	- 1,400
Microform Publications	23,000	27,000	+ 4,000
Books	10,000	11,200	+ 1,200
Subscriptions	15,000	18,500	+ 3,500
Standing Orders	11,000	14,000	+ 3,000
Office of Conservation and Preservation	1,000	1,200	+ 200
Office of Public Records (Public Law 92-342)	10,000	12,000	+ 2,000
Travel and Registration Fees (Public Law 94-59)	19,000	19,000	-0-
Substitute Reporters and Transcribers (Public Law 88-90)	10,200	10,200	-0-
Consultants (not more than two) (Public Law 95-26)	49,500	49,500	-0-
al Reference Volumes and Dictionaries (Senators' Offices) (Public Law 92-51)	65,000	65,000	-0-
Contractual Legal and Administrative Services and Miscellaneous Expenses	57,000	57,000	-0-
Disbursing Office: Payroll Forms, Notary Fees and Supplies, Insurance	29,000	29,000	-0-
Orientation and Training (Public Law 95-94)	4,000	4,000	-0-
Newspapers	33,000	33,000	-0-
Senate Service Awards (Senate Resolution 21, September 20, 1985)	10,000	10,000	-0-
Postage	1,200	1,000	- 200
Education of Senate Pages (Public Law 98-51, as amended and Senate Resolution 184, July 29, 1983 and Public Law 98-125)	225,000	288,500	+63,500
Stationery	32,000	32,000	-0-
Senate Commission on Art (Public Law 100-696, November 18, 1988)	30,000	30,000	-0-
Representation Expenses (Public Law 100-71, July 11, 1987)	25,000	25,000	-0-
Total Obligations	$727,200	$803,000	$+75,800
Financing:			
Less unobligated balance, start of period	-0-	-0-	-0-
Appropriation	$727,200	$803,000	$+75,800

SUMMARY OF APPROPRIATIONS REQUESTED

laries (Salaries, Officers, and Employees)	$8,852,000	$9,476,000	$+624,000
Expenses	727,200	803,000	+ 75,800
Total Obligations	$9,579,200	$10,279,000	$+699,800
Total Financing			
Less unobligated balance, start of period	-0-	-0-	-0-
TOTAL APPROPRIATION	$9,579,200	$10,279,000	$+699,800

STATEMENT OF STUART F. BALDERSON

Mr. Chairman, I appreciate the opportunity to appear before your Committee to testify regarding the Budget for the United States Senate for Fiscal Year 1991.

Mr. Chairman, the budget estimates submitted, which are included in the Budget of the United States Government for Fiscal Year 1991, have been developed in accordance with the requests and proposals submitted by the various offices and functions of the Senate. The budget estimates, including the budget amendments submitted to the Director of the Office of Management and Budget totalling $485,035,000.00, an increase of $60,423,800.00 over the amount appropriated for Fiscal Year 1990, after sequestration. An individual analysis of the budget requests for all functions and offices have been included in the Senate Budget Book previously provided to your Committee.

The budget estimates for Fiscal Year 1991 are divided into three major categories as follows:

1. Senate Items	$ 65,896,000.00
2. Contingent Expense Items	$345,875,000.00
3. Joint Items of the Senate	$73,264,000.00

Specifically, Mr. Chairman, the increase in the Fiscal Year 1991 budget estimates, above the Fiscal Year 1990 appropriations are largely a result of; (1) the budget deficit reduction agreement, which required the Senate to absorb all supplemental requests, including the cost of living increase for Fiscal Year 1990; (2) the annualization of the Fiscal Year 1990 cost of living increase for Fiscal Year 1991; (3) an increase in the operational expenses by the Sergeant at Arms and Doorkeeper; (4) an increase in agency contributions as a result of a greater number of the Senate employees being enrolled in the Federal Employees Retirement System, increased participation in the Thrift Savings Plan, and increased agency costs for Federal Employees Health Benefits; (5) projected increase in the estimate for Official Mail Costs, and (6) other increases resulting from requests and proposals submitted by individual offices or increased funding required by statute or resolution.

Also included in the budget estimates is an anticipated cost of living increase for Fiscal Year 1991, based on a recommendation from the Office of Management and Budget.

Mr. Chairman, I submit for the consideration of your Committee the Budget for the United States Senate for Fiscal Year 1991.

OFFICE OF THE SERGEANT AT ARMS

STATEMENT OF HENRY K. GIUGNI, SERGEANT AT ARMS

ACCOMPANIED BY:

BRIAN NAKAMURA, ADMINISTRATIVE ASSISTANT AND GENERAL COUNSEL

MARY RUTH ALTER, COMPUTER CENTER

ROBERT W. McCORMICK, TELECOMMUNICATIONS

RUSSELL JACKSON, SERVICE DEPARTMENT

BUDGET REQUEST

Senator REID. Our next witness this morning is the Sergeant at Arms of the Senate, Mr. Henry K. Giugni. Mr. Giugni, we welcome you to the Appropriations Committee.

The President's budget includes a total of $119,583,000 for the Sergeant at Arms. The request for salaries is $31,222,000, an increase of $3,222,000 and 44 positions. The request for expenses is $88,361,000, which would be $15,272,000 more than the current level.

I understand, however, that you have managed to pare these estimates down since the President's budget was formulated. We would be interested to learn where and how you will be able to reduce your request. Your formal statement will be made part of the record, and I would ask you to introduce the people you have with you and give us your highlights of the testimony.

I would also state to you, Mr. Giugni, as I did with Mr. Stewart, that the legislative budget is handled differently than the executive branch budgets. With the executive branch budgets that we review, they are gone over on four or five different levels before they reach us. Yours is not, as with Mr. Stewart's, and, therefore, it goes without saying there will be some paring down of your budget.

I guess we are the "Darman" of the legislative branch organization. Please proceed.

Mr. GIUGNI. Mr. Chairman and members of the committee, for the past 3 years I have come to this committee to talk about major equipment upgrades and new programs. Today, I can report that, for the most part, the upgrades are finished and the new programs are in place. Except for the data network, this is a budget that basically supports existing services.

Our fiscal year 1991 request is $110.7 million, an increase of 9.6 percent over last year. Of that amount, expenses are up 9 percent. The payroll portion is up 10 percent, but more than 8 percent is COLA or inflation. The real increase is just over 2 percent. Twenty-one new positions are requested. We have worked with your staff to eliminate positions for new or developing programs where we are not sure exactly how many will be needed. When the time comes, we plan to hire on a temporary or partial-year basis, and the salaries will be paid from our existing budget.

DATA COMMUNICATIONS NETWORK

A major element that is not part of today's submission is the Senate data communications network. At the request of the Rules Committee, our budget at this time does not include the funding for the network because the RFP is still pending. Any disclosure of what moneys might be available could influence the procurement. The amount would not be correct anyway until the final decision is made. With your permission, we would like to submit our funding request for the network when the contract is decided in the next few months.

If you look at our overall budget picture, most of the increase is because of either the growth in our workload—our services are just being used more—or it is a result of programs leaving the design stage and becoming a reality. Let me give you some examples.

EXECUTIVE OFFICE

The Executive Office helped me to carry out my job as chief law enforcement and protocol officer. Here is what we had to deal with. Official state visits were up 68 percent, and that is just heads of state. Other VIP and official visits were up 24 percent. Special events were up 66 percent. Demonstrations were up 9 percent, and they were larger and more frequent. We can discuss the security part of these activities in more detail when the Capitol Police budget is presented later this month. No additional positions or expenses are requested for the Executive Office.

HUMAN RESOURCES

The Human Resources Office handles personnel and programs for education and development Senatewide. This includes the Special Service Office which gave Capitol tours to more than 4,000 handicapped persons last year, a 13-percent increase. The Senate seminar program held an additional 28 presentations, up 25 percent, mostly in response to Senate staff who wanted training on management issues. The 3-year-old health promotion program has been a huge success. Last year about 4,000 staffers participated in 36 programs. This is more than one-half of the total number on the Senate payroll. Next year we plan to add an employee assistance component for counseling and guidance on drug abuse and other problems.

No new positions are requested. The only significant increase in expenses is $30,000 for the seminar broadcast program.

TELECOMMUNICATIONS

The Senate telecommunications department is headed up by Bob McCormick. Two years ago telecommunications and its vendor set a minimum standard of 97 out of 100 for the new telephone switch. Today we are at 99. The maximum trouble rate was set at 4.1 calls per 100 lines each month. Today the trouble rate is 1.5.

I used to get calls every day from Senators who wanted the throw their new phones in the trash. Today we are doing better than all the standards. Our telephone switch handled about 84 million calls last year, up 11 percent. The Capitol exchange telephone operators took 4 million calls, up 22 percent. Telecopiers in the Senate went up 23 percent. Over 2 million pages were faxed, up 50 percent. And conversion of the State offices to the legislative branch network is almost complete. This saves the Senate almost 50 percent of what it would cost under the FTS 2000 contract.

For telecommunications, we are asking for an increase in expenses of 7.7 percent, or $1.1 million, almost all due to local telephone charges in the District of Columbia and State offices. This comes from more telephone use, higher maintenance costs, and the end of the old FTS program. It all adds up to more than $1.6 million in additional costs we could not control or avoid. If not for that, the department would have had a decrease. New positions are requested for a data base administrator and another State office coordinator to keep up with the workload.

SERVICE DEPARTMENT

Fiscal year 1989 was a record year for the service department and its director, Russell Jackson. They printed over 400 million pages. Now that the new mass mail regulations are in place, that kind of production will probably not be repeated. The expense increase is just under $300,000. This is for the higher cost of supplies, the growth in prepress and graphics, and equipment for the new State offices we will have to outfit after the elections. Let me tell you, this department really delivers. Mass mailings were up 13 percent. You may be interested to know that the increase was not in newsletters, it was town meeting notices, "Dear Friend" letters, and other mailings for personal appearances or specific issues.

Senator REID. What is a "Dear Friend" letter?

Mr. JACKSON. Senator, a "Dear Friend" letter is a letter that you send to an addressee or constituent within the State and your address starts out "Dear Friend," this is about so and so.

Senator REID. Postal patron?

Mr. JACKSON. It could be postal patron, it could be an address, either one.

Mr. GIUGNI. Graphics services—these are charts, maps, and graphs—up 34 percent. Printing in braille for the blind, up 38 percent. This spring CMS and other mail now sent at 25 cents per piece will be sorted and mailed at a lower cost. It could save as much as $600,000 a year in postage. The service department needs three positions: a graphics artist, a warehouse man, and a clerk to handle the recordkeeping for the new regulations.

COMPUTER CENTER

Last year I said the Senate was playing catchup on computers. This year, thanks to a big push by Mary Ruth Alter and her staff in the computer center, we are making real progress. Of the 33 Members elected in 1988, all but one have used the new economic allocation program that gives offices more options in choosing computer systems. The number of State offices with data communications connecting them to Washington doubled last year. Two years ago there were eight local area networks for PC's in the Senate. By last month there were 42.

The experts say this is the best technology, and we are making it the focus of our computer services in the Senate. In the last few months we negotiated an upgrade of 2,500 personal computers to a far superior model. A massive effort on our biggest data bases—LEGIS and CSS—will eventually replace outmoded systems with new products that will better address the Senate needs now and also open the door to more applications in the future. The new CSS system will be available to the class of Senators elected this year. Almost all of the computer center's increase of $4.3 million in expenses and eight positions is due to the takeover of CSS. These costs include about $2 million for a mainframe upgrade and $2 million in development and delivery. Right now the Senate pays a vendor more than $3 million a year to run these services on equipment and software that everyone agrees needs major upgrades. The investment will give us a better product and just about pay for itself in 5 years.

PHOTOGRAPHIC AND RECORDING STUDIOS

The photo and recording studios are the only Sergeant at Arms departments funded by user's fees. A year ago we raised the prices in the photo studio for the first time in 8 years. In spite of that, the number of shoots was up 10 percent; print orders also up 10 percent. The recording studio had 24 percent more work orders. That more than covered price cuts in 1987.

Fourteen days of impeachment hearings were broadcast live on the cable system. All 1,003 hours of Senate floor proceedings were broadcast live without a hitch. We even added special graphics and historical pieces for the Senate bicentennial. One of our surveys showed a demand for closed circuit broadcast of committee hearings. The Rules Committee agreed and we began the groundwork. We have already wired 27 hearing rooms for live audio and video broadcasts.

For the photo studio, no additional expenses and one new position for a messenger is requested. The recording studio needs six positions and $125,000 for committee broadcast and Senatewide services, such as the rebroadcast of nightly news and public affairs programs.

INTRODUCTION OF ASSOCIATES

Mr. Chairman and members of the committee, thank you for the support and interest you have shown. I have brought with me a few key members of my team: Brian Nakamura, my Administrative Assistant and General Counsel; Mary Ruth Alter of the computer center; Bob McCormick, telecommunications; and Russell Jackson of the service department.

PREPARED STATEMENT

We will be happy to answer any questions you may have.

[The statement follows:]

STATEMENT OF HENRY K. GIUGNI

Mr. Chairman and Members of the Committee, it is again my privilege to present the Appropriations request for the Office of the Sergeant at Arms.

For the past three years I have come to this Committee to talk about new programs and necessary equipment upgrades. I am pleased to report, that with one or two significant exceptions, our upgrades have been completed and new programs are either implemented or well underway. Consequently, the budget submitted today represents, for the most part, funding levels necessary to maintain existing services.

The principal "significant exception" I refer to, involves the Senate Data Communications Network (SDCN). Pursuant to a request from the Senate Committee on Rules and Administration, and with your concurrence, our submission and presentation does not at this time include funding necessary for the installation and operation of the SDCN in FY 91. This is because the development of this network is currently the subject of a procurement being conducted by the Rules Committee. Disclosure of potentially available appropriations may prejudice the procurement and any requests at this time would be necessarily inaccurate. Accordingly, we will submit to your Committee a request for the funding of the SDCN at or around the time of contract award.

The Sergeant at Arms Fiscal Year 1991 request at this time totals $110,749,000, an increase of 9.6% over Fiscal Year 1990 levels. The expense request has increased by $6,727,000 or 9.2%. Personnel funding increases are $2,933,000 or 10.5%. Of the personnel funding increase, over 8% is a product of mandatory or inflationary increases. Thus, we anticipate a real increase in personnel expenditures of just over 2%. Twenty one new positions are requested. This represents a 2.4% increase in position count. We have worked with your staff to eliminate position requests associated with new or developing programs for which position increases cannot be firmly identified. If necessary, it is our intention to fill such positions on either a temporary or partial year basis as they arise. Any such increases will be paid for within the existing budget.

Expense and personnel increases are almost exclusively attributable to work load increases or the ongoing implementation of approved programs. To illustrate this, and because I'm very proud of the nature and quality of the services offered by the Sergeant at Arms, I would like to provide the committee with a statistical illustration of the job we are doing.

Executive Office. As an elected Officer of the Senate, the Sergeant at Arms serves as chief law enforcement and protocol officer of the Senate. Executive office staff serve to coordinate these functions as well as participate in managing the Pages, Doorkeepers and other Personnel which support the Senate Floor. While many of these items will be discussed at greater length during the Capitol Police Appropriations Hearing, the following statistics are indicative of the workload on my Executive staff:

1) The Senate was in session for 1003 hours during calender year 1989. Support staff must be on duty and available at all times, including late nights and weekends.

2) Official State visits increased by 68% in Fiscal year 89, from 28 to 47. State visits represent only Heads of State as recognized by the State Department.

3) Special Events increased by 66%, from 192 to 318. Special events include concerts, large receptions, news conferences etc.

4) VIP/Official Visits increased by 24%, from 1,493 to 1,847. VIPs are categorized as Cabinet Members, foreign or U.S. Official who are not considered heads of State.

5) Demonstrations increased by 9%, from 226 to 247. Demonstrations are becoming larger as well as more frequent.

No increase in positions or operational funding is requested for Executive Offices services for FY 91.

Human Resources. Our Office of Human Resources serves as the personnel office for the 870 Sergeant at Arms employees. Additionally, it operates the Senate Placement Office, Seminar Programs, the Office of Special Services and Senate Health Promotion Program. As Senate needs have grown, so too has Human Resources' role in providing training and developmental programs to the entire Senate:

1) Special Services provided guided Capitol tours to 4,120 handicapped persons in CY 1989. This represents an increase of 13% over CY 1988. Pursuant to the mandate of this Committee, Senate Special Services is in the process of expanding to accommodate services to the House of Representatives through the establishment of a joint office. Principal administrative and coordinative responsibilities will remain with the Office of Human Resources.

2) The Senate Seminar Program conducted an additional 28 presentations in CY 89, an increase of 25%. Program expansion was principally the result of requests by Senate staff for training on management issues. This spring, Human Resources will begin utilizing the Senate closed circuit cable network to broadcast seminar tapes and other informational videos directly to Senate offices.

3) The Senate Health Promotion Program has, to date, succeeded beyond our expectations. In 1989, 3,801 people in the Senate community took part in the 36 programs conducted by this office. This represents approximately one-half of the total number of persons employed by the Senate. For the most part this was accomplished by a single staff member with no effective operating budget. In last year's appropriations measure, this Committee formalized this program and provided for minimal funding. We anticipate the continued expansion of Senate Health Promotion including the establishment of an Employee Assistance component to provide counseling and guidance on substance abuse and other related problems.

No new positions are requested. In addition to unavoidable cost increases, the only significant increase in operational funding is approximately $30,000 to accommodate Seminar program expansion and the closed circuit broadcast program.

Telecommunications. In the Spring of 1988, the Senate Telecommunications Department and the Senate's vendor negotiated a minimum standard of 97 on a telephone switch performance index of 100, and a maximum trouble rate of 4.1 per 100 installed telephones per month. By January 1990, the switch performance index had risen from a rate of 98.4 for 1988 to 99.0. Similarly, the trouble rate had fallen from 2.13 in 1988 to 1.5 troubles per hundred telephones. These levels of performance are indicative of the job being done by the Telecommunications Department. We have come from a telephone system where Senators have demanded removal, to one which significantly exceeds manufacturer's standards. Other indicators of performance and workload include:

1) Almost 84 million calls were handled by the Senate Telephone switch in FY 89, an increase of 11% over FY 88.

2) The Capitol Exchange operators received over 4 million calls in FY 89, an increase of 22%.

3) Over 2 million pages were faxed via the Senate FaxXchange, an increase of 50%.

4) 544 pagers were issued or upgraded, an increase of 511%. This resulted in almost a 20% increase in the total number of pagers in the Senate and monthly cost savings of $3,100 beginning March 1990.

5) The Telecommunications Department received over 3,000 requests for assistance, a 42% increase.

6) The number of telecopiers issued in the Senate increased by 23% to 201.

7) Conversion of the Senate's 390+ State Offices to the Legislative Branch network procurement vendor is virtually complete. Utilization of this contract saves the Senate almost 50% of what similar services would cost under the FTS-2000 contract.

Overall, the Telecommunications Department requires an increase in expenses of 7.7% or $1,135,000. This increase is entirely attributable to Washington, D.C. and State Office local telephone charges. In these areas, higher usage of directory assistance and message units, maintenance increases, and the termination of the old FTS program have generated in excess of $1.6 million of unavoidable additional costs. In the absence of these uncontrollable increases, expenses of the Department would have been reduced. Two new positions are requested. This 3.4% personnel increase is necessary to hire a data base administrator and assistant State Office Coordinator.

Service Department. Fiscal Year 1989 was a record year for the Senate Service Department with over 422,261,000 pages of material printed for the Senate. Due to the imposition of new mass mail regulations which effectively reduce allowable mailing, we do not anticipate exceeding this level of production in Fiscal Years 1990 or 1991. Additionally, the completion of required equipment upgrades virtually eliminates the need for substantial expenditures in this category. Consequently, expense increases are limited to 5.6% or $298,000 to accommodate the increasing costs of supplies, growth in pre-press requirements, and State Office equipment changes as a result of the upcoming election. Production indicators reflect the efficiency with which the department operates:

1) Total pages produced represent a 48% increase over FY-88.

2) Mass mailings (266 million) represent a 13% increase over FY-88. Interestingly, the increase was not due to an increase in newsletters. Rather, Town Meeting notices, Dear Friend letters, and other such mailings relating to personal

appearances or specific issues appear to account for the growth.

3) Two color printing and color copying services were introduced to the Senate.

4) The requirement for graphics services (charts, maps, and other presentational devices) increased by 34% to over 2,600 jobs completed.

5) Production of materials printed in Braille increased 38%, with a total of 2,646 orders completed in FY-89.

6) Desktop publishing, electrostatic plotting and other automated services were introduced in order to enhance efficiency.

7) In spring 1990, CMS and other mail currently sent at a rate of $.25 per piece can be sorted and mailed at a bulk rate price. As much as $600,000 per year can be saved in postage by utilizing this service.

Personnel requirements for the Service Department are projected to increase by three positions, or 1.8% of the current total. These positions are a Graphics Artist to accommodate the workload increase in that area, a Warehouseman needed to assume the additional responsibilities of maintaining our expanded warehouse in Alexandria, Virginia and GSA disposal responsibilities from the Senate Computer Center, and one new clerical position to meet increased record keeping requirements.

Computer Center. Last year I reported that the Senate was playing "catch-up" in the area of automation and information services. This year, I am pleased to report that, thanks to the efforts of our overworked Senate Computer Center, the process of catching up is well under way. While this is not an inexpensive proposition, the cost of not proceeding--in terms of unmet user demand, lost opportunities and relative inefficiencies perpetuated--would be far greater. Indicators of our substantial progress include:

1) 32 of the 33 eligible Senators (elected in 1988) have utilized funding available under the new economic allocation program to either substantially upgrade their existing minicomputer systems or install Senate supported local area networks in Washington. In state offices, nine offices selected local area networks, three offices installed minicomputer systems, and 18 offices installed PC standalone or other configurations.

2) The number of state offices with data communications capability was almost doubled in 1989. 375 of the approximately 390 state offices currently have access to Washington DC office and mainframe systems. The remaining offices may avail themselves of the opportunity.

3) At the close of 1987, a total of 8 PC Local Area Networks (LANs) existing in the Senate. At the close of 1989, 42 LANs had been installed. These networks are currently recognized as the mature and preferred technology by the technological, business and government communities and will serve as the principal platform for the delivery of services to the Senate. In 1990, a requirement for the installation of at least 17 more LANs has been identified.

4) In 1989 and early 1990, with the concurrence of the Senate Rules Committee, negotiations with the Senate's vendor resulted in the upgrading of 2,500 personal computers from the base 286 type technology to the preferred 386 type technology.

5) As a result of development efforts in the areas of the Constituent Service System (CSS) and the redevelopment of the LEGIS system, the Senate Computer Center (SCC) identified two new lines of data base management products to serve as the basis of replacement systems. Implementation of these products equips the Senate with two strategic resources that can provide the basis for the development of a variety of new applications during the 1990s. The new CSS system should be available to the class of Senators elected in 1990.

6) 21 enhancements have been made to the current Constituent Services System. These address the 28 areas of concern raised by users which could be addressed within the framework of the existing system.

7) Production services continued unabated in FY 89 with 14 million CMS letters produced, 116 million mailing labels generated, 22,000 work orders processed, and 39 million pages of printed reports prepared on upgraded 9790 laser printers.

Almost the entirety of the Computer Center's increase of $4,329,000 in expenses (10.2%) and 8 positions (3.3%) can be attributed to the planned assumption of CSS responsibilities. These costs include approximately $2 million for a mainframe upgrade and an additional $1 million in initial development and implementation costs. Because the Senate currently pays in excess of $3 million per year to a vendor to run these services on equipment and software that they concede have long been outdated, it is projected that the CSS investment will not only result in a greatly superior product providing on-line constituent information, but will effectively pay for itself in terms of reduced vendor costs within five years.

Other areas of cost increase include scheduled payments for the PC upgrade and increased state office maintenance and support. These are offset to some degree by anticipated savings in Washington DC system maintenance costs and other efficiencies.

Photographic and Recording Studios. Requirements for video and Photographic services continue to increase. Accordingly the income of the Studios, the only SAA departments substantially funded through charges to Senate offices, increased by 17% in FY 89. But more importantly, the nature and quality of services provided by the Studios were significantly enhanced:

1) The number of Photographic Studio photo assignments in CY 89 increased by 10% to 6,208. Accordingly, the number of rolls of film processed increased by 10% to 6,289. The increases occurred notwithstanding necessary price increases implemented in January of 1989. These price increases were the first imposed in eight years. The increases were a result of a market evaluation conducted by the Photographic Studio.

2) The Photographic Studio substantially upgraded its processing equipment for the first time in eight years with the purchase and installation of a new film processor and color print/enlarger system. These systems have already

resulted in increased productivity and reduced turn-around time.

3) The Senate Recording Studio (SRS) experienced a 24% workorder increase over CY 88 to 4,682 workorders processed. The workload increased more than compensated for price cuts in 1987. The price reductions were similarly the result of a market evaluation.

4) Substantially greater use was made of broadcast and satellite communications services in the Recording Studio. Live call-in programs, video newsletters, and periodic informational broadcasts, and interactive educational seminars were produced and disseminated by the SRS.

5) 14 days of Impeachment hearings were broadcast live on the Congressional Cable System permitting Senators and staff to view the proceedings. At the request of the Impeachment Committee video tape recordings were made available permitting key testimony to be reviewed.

6) All 1,003 hours of Senate floor proceeds were broadcast live without any interruption in service or critical production flaw. To commemorate the bicentennial year of the Senate, special graphics were produced and 37 historical video vignettes were developed in conjunction with the Senate historian.

7) A user survey conducted in February of 1989 identified closed circuit broadcasts Committee hearings as the most required new service. The Senate Rules Committee has approved the initiation of such a program. Accordingly, groundwork was begun for the closed circuit broadcast of selected Senate hearings. Audio from one hearing was broadcast on a test basis in May 1989 and again in January of 1990. Together with the Senate Telecommunications Department 27 hearing rooms were wired for live audio or video broadcasts. Three channels on the Congressional Cable system were isolated for Senate use in order to accommodate these and other similar broadcasts.

8) Since the system is antiquated and not designed for broadcast services, Senators and network broadcasters have justifiably complained about the quality and operations of the Senate floor audio system. Accordingly, The Architect of the Capitol and Sergeant at Arms are currently conducting an evaluation and redesign of the Senate floor audio system. If a replacement system is installed, it is anticipated that the SRS will assume responsibility for the joint broadcast-public address system. Should this occur it will be necessary to transfer positions from the AOC or fill approximately 3 new posts.

One new position and no new increase in expenses are requested for the Photographic Studio. The Recording Studio increase of 6 positions and $125,000 is exclusively attributable to the planned assumption of Committee broadcast and other Senate-wide continuing services such as the recording and rebroadcast of nightly news and other programs.

Mr. Chairman, I would again like to thank you for this opportunity to present this portion of our FY 91 Appropriations request. My staff and I would be glad to answer any questions you may have.

STATE OFFICE SUPPORT

Senator REID. Henry, you mentioned that the situation of the Sergeant at Arms system appears to have leveled off with regard to new programs and equipment upgrades. Does this mean that we can expect no major initiatives for the next couple of years?

Mr. GIUGNI. Senator, everything is being geared to our State offices. About one-third of our expense budget is used to support State offices. The Senate trend has been a shift of the workload back to State offices. Therefore, we need to supply them with more equipment and services. Three years ago we had hardly any computers in the State offices. Today nearly every State office is equipped with computers.

We have had no change in 5 years on the furniture and furnishings. We have that under review now. We are working with the Rules Committee to review the allocations in order to service every Member's office. We are improving the telephone services, and computer support with the new data network for all the States.

Another thing people don't realize is that we have 396 State offices throughout the United States. Recently my State offices coordinators and I have been very concerned about the cutback by GSA on security. I surveyed offices in Texas, Nevada, Colorado, Virginia, and Maryland to see what needed to be done regarding security. I will give you a more detailed report when we meet to discuss the Capitol Police budget.

BUDGET REVISION

Senator REID. Your original request as reflected in the President's budget totaled about $120 million, or about $31 million for salaries, including 44 additional positions, and $88.4 million for expenses. The revised request you presented totals of $110.7 million.

What are the major differences between your revised budget and the President's budget?

Mr. NAKAMURA. The current submission represents approximately four adjustments that were made since the August submission for the President's budget. At the direction of OMB, funding for part-year 1991 COLA was included in the salary expense.

Senator REID. Excuse me, before Senator Hatfield leaves I want to just tell him and the record to reflect how much I appreciate his attention to this Legislative Subcommittee. You have been here in the Senate a long time, you have a great historical perspective, and your love of the legislative branch is indicated by your attendance at these meetings and I appreciate very much the leadership that you have shown.

Senator HATFIELD. Mr. Chairman, I want to also thank you for being such an extraordinary chairman of this committee that oftentimes was looked upon as sort of the low end of the totem pole, that you have elevated it to the very prestigious committee it is and I am honored to be on it.

Senator REID. I have got to do my best because Nickles is looking over my shoulder. [Laughter.]

Please proceed.

Mr. NAKAMURA. The most significant impact was the reduction in positions requested from 44 to 21, and at Mr. Giugni's direction and working with your staff, we reviewed the position requirements of the department and pared them down to what we feel are critically necessary. The net result on the salary side was a decrease of about $630,000 in the salary request.

On the expense side, the first of two changes was an interim withdrawal of funding for the Senate data communications network. The Rules Committee is currently in the process of completing a procurement for the network. The original amount was a ballpark estimate supplied by a consultant study that was performed a couple of years ago. In order not to prejudice the procurement and to provide the committee with more definitive figures, we have asked that that submission be deferred until the Rules Committee has its numbers.

And finally, certain adjustments were made within each department submission. Telecommunications' request was reduced by $700,000 for the postponement of certain purchases. Facilities and financial management was increased by $200,000 to accommodate the approval of the committee broadcast system, and the computer center request was increased to accommodate the upgrade of microcomputers in the Senate that took place last year.

Senator REID. Talking about specific positions, your revised request includes 21 additional positions. The original, or the Presidential submission, requested 44 positions. Could you tell us generally what positions you deferred?

Mr. NAKAMURA. Yes, sir; as I said, at Mr. Giugni's direction with the staff, we went through the position requests one by one for each of the departments. In the Executive Office a request of three was reduced to zero. In the computer center a request of 12 was reduced to 8. In facilities and financial management a request of four was reduced to one. In the studios, 13 to 7; telecommunications, 8 to 2; and the service department, 4 to 3.

Senator REID. Are you going to fill some of those that were deleted by temporary positions?

Mr. NAKAMURA. Yes, sir; the strategy we have adopted is not to request permanent full-time positions for programs that are currently in the process of development or where workload is unclear. As a result, as the need arises we plan to fill the positions on a temporary or part-year basis, with the approval of this committee.

Senator REID. Senator Nickles, your beeper went off. I know you have something on the floor. Would you proceed with your questions?

Senator NICKLES. Mr. Chairman, I thank you for that, and I apologize. I do need to run. I have got a speech and an amendment coming up. So I apologize, and I also apologize to our next guest, Mr. Reischauer. I will miss his statement.

PHOTOGRAPHIC STUDIO

One quick question on substance. You mentioned we increased the user's fees or the prices for the photo operations. How much? I don't see a breakdown. I also was looking at this, the number studios. You have what, 60 something people working in the studio? Does that include the photography? What else does that include? Radio and TV studio?

Mr. **Nakamura**. It includes the recording studio and photo studios.

Senator **Nickles**. The photo studio, since it has a user fee, does that generate most of the money?

Mr. **Nakamura**. As a matter of law, the photo studio and recording studio, in terms of services for Senators, is funded out of a revolving fund. So we are required to charge sufficient funds to recoup the expenses incurred in the provision of photographic services.

The photo studio prices had not been addressed for the 8 years that the studio has been in existence.

Senator **Nickles**. What do we charge a picture?

Mr. **Nakamura**. I couldn't tell you off the top of my head. We could supply that for the record.

Senator **Reid**. Alan, what do we charge for a picture?

Mr. **Porter**. It depends on how many. The first print is about $1.50, and then they go down in a volume rate.

Senator **Nickles**. All right. I am going to have to run. Mr. Chairman, I apologize and thank you for your cooperation.

Senator **Reid**. Thank you, Senator.

COMPUTER CENTER PERSONNEL

You are requesting about $60 million and 254 positions for the Senate computer center. This is an increase of $5.4 million and eight positions. We are spending an increasing amount each year on computer technology. I was, for example, talking to Senator Burdick the other day and he was explaining to me about farming, that one housewife can do now—these were his words—by driving one of these big pieces of machinery what 25 men would do a number of years ago.

My point being, with all this new computer equipment it seems it should be necessary to have less people rather than more.

Mr. **Nakamura**. At the computer center in particular you mean?

Senator **Reid**. Yes.

Mr. **Nakamura**. In fact, we like to think that the computer center personnel are doing more, and the reason is because the workload continues to increase. A day doesn't go by when some idea for new services doesn't surface. The distribution of equipment to State offices and Member offices requires additional support. If the level of service remained the same for the past 3 years, there would be no question that fewer people would be required. But as the demand for services increases the provision of services increases.

Senator **Reid**. So it is different from the farming because you, in effect, have bigger, more areas to harvest.

Mr. **Nakamura**. Yes; we are growing more wheat.

Ms. **Alter**. More acres.

Senator **Reid**. You have more acres to plow.

CONSTITUENT SERVICES SYSTEM

You indicate that the bulk of the increase you propose is associated with upgrading—at least that is the way I understood the testimony—upgrading the correspondence management system, or

CMS. You also say that you are going to bring that in-house and you expect this investment will pay for itself in 5 years.

How do you arrive at that, that it will pay for itself?

Ms. ALTER. Senator, what we have done to try to estimate the cost of bringing the correspondence management system, the new constituent services system, in-house is to assume a standard configuration in an office. Obviously, we don't know yet what offices will choose to do, and we have tried to keep the options open. To develop a cost estimate, we have assumed that people would install the standard micro computer in a local area network configuration, and from that assumption have determined that the initial implementation cost of this system will be about $4.3 million. We believe that we will be prepared to implement this system, we are scheduled to, at the beginning of the 102d Congress next January.

Right now we are paying the current vendor about $3.5 million a year for this service. So as we implement the new system in Senate offices, we will be able to ratchet down the acquisition of the services from the current vendor, and we believe that at the time we get most of the offices on the new system we will no longer have to pay the $3.5 million a year. We believe we will be able to accomplish that implementation in that timeframe and have the system pay for itself, both the implementation and the development costs.

Senator REID. What are the main advantages of CSS over CMS?

Ms. ALTER. CSS is going to be the first major application that we provide to Senate offices in a new up to date distributed processing methodology. What this allows us to do is to move more functions down to the office level, down to the workstation level, and make the interface between the system and the user much more user friendly.

I think that probably the most outstanding advantage of the new system is that it will provide a consolidated constituent data base on-line so that Senate offices will be able to query that data base for decision support information. You will be able to check how many of your constituents are interested in a particular topic or how many have written to you on antigun control. So we believe——

Senator REID. You had to bring that up, didn't you?

Ms. ALTER. Sorry. I think another major advantage is that this new system will use state-of-the-art technology and state-of-the-art applications. The text processing system will be WordPerfect, which is the Senate's standard word processing system. And above all, I think its major advantage is that it removes the vulnerability of our dependence on an external vendor. Right now the system is operating on seven computers in Pittsburgh. Bringing the system in-house to run on Senate owned and operated computers and equipment will remove that vulnerability.

Senator REID. Is there anything you would like to add to what the Sergeant at Arms stated about the current status of the project and when CSS will be deployed?

Ms. ALTER. This system is being deployed in several releases, and actually one release, the first release, was implemented about 1 year ago when we started using microcomputers as the workstation and were able to start using WordPerfect as the text processing system. Right now we have about 74 Senators who are using that first release of the system and there are 98 State sites also using the first release of what we are calling CSS.

For the second release, we are in the final stage of one portion of the system development, the requirements analysis, and we have a group of users who are currently reviewing the requirements analysis to assure that all the functionality is there. In about 3 weeks we plan to begin the design phase. We are on schedule with the development of the project and we intend to have it ready to be implemented at the next Congress.

SELECTION OF CSS CONTRACTOR

Senator **Reid**. Who is the lead contractor in this project and how was the contractor selected?

Ms. **Alter**. We evaluated and did an industry survey and study of the leading providers of relational data base technology, which this system requires. We chose Oracle Corp., which is one of the leading providers of this type of software. We chose Oracle because they had in production all of the functional software that we require for the application. That software is also able to be used on all the platforms that exist in the Senate at this time, so it kept our options open for various methods of deployment. Oracle also gives us the opportunity to have in-house consulting services as we go through this development project.

Senator **Reid**. What is the CSS life cycle, the cost of it?

How long will it last? I mean will it have to be replaced?

Ms. **Alter**. Well, the current system has been in existence for about 12 years. We believe that we are developing this system so that it can be enhanced. It is being developed in a modular way so that as Senate requirements change or as new equipment and new capabilities, newer technologies are developed, we will be able to implement them with the system. We intend for this system to be an evolutionary one and it will continue to be developed. Even at this point, we have some additional functionality that we would like to be able to incorporate in the system at a later date.

ECONOMIC ALLOCATION

Senator **Reid**. Mr. Giugni, your request includes $6 million for the economic allocation program for the ADP requirements of Senator's offices. You indicate that 32 out of 33 eligible Senators have utilized funding provided this fiscal year for the program.

Would you or a member of your staff explain briefly how this program works?

Ms. **Alter**. The economic allocation provides funds to the newly elected class of Senators so that they can choose whatever equipment or whatever computer systems they want to install in their office. It gives offices more flexibility of choice and more management control over the systems they install in their office. The program began with the class that was elected in November 1988.

Senator **Reid**. Even though the class of 1986 is the one that got all of this started, we are not getting anything for it.

Ms. **Alter**. Your turn is coming.

Senator **Reid**. We should have been first.

Ms. **Alter**. So you have something to look forward to. It is a new program. Computer center activity with the program is to develop competitive pricing so that as offices choose the equipment they will have a good price to pay for the equipment. We do support the installations of the equipment in the offices and also provide training and hotline support for the standard systems.

LOCAL AREA NETWORK [LAN] SUPPORT

Senator **Reid**. Your testimony suggests an explosion in computer technology in the Senate. Mr. Giugni told us that we have gone from about 1,300 workstations in 1980 to about 7,500 in 1989. And you indicate that local area networks have gone from 8 in 1987 to 42 as of the first of this year, and that there is another 17 planned this year.

How many of your current 246 positions do you allocate to full-time day-to-day support for users of these workstations and the LAN's, or the local area networks?

Ms. **Alter**. Senator, if I count our hotline support people, our consultant services to Senators' offices, our training support people, and then the hardware and software support staff, I think it adds up to approximately 65 staff members. Of course, there are others who are indirectly related to it, but on a day-to-day activity the full support is about 65.

JOINT OFFICE OF SPECIAL SERVICES

Senator **Reid**. Last year this committee approved the establishment of a joint special service office with the House of Representatives, as well as interpreting services for the deaf. How has this been working? You mentioned briefly in your statement that you had expanded services for the deaf, and then you gave us a number.

Give us a general overview of how this program is working.

Mr. **Nakamura**. Senator, pursuant to the direction of this committee and the House Appropriations Committee, a joint office was established in mid-January 1990. We are working with the Clerk of the House in that regard. We are currently providing interpreting services pursuant to the committee's mandate and looking for a permanent staff interpreter. In the 2 weeks the interpreting service has been available we satisfied over a dozen requests.

ADDITIONAL COMMITTEE QUESTIONS

Senator **Reid**. We have a number of other questions that we are going to submit to you in writing for you and members of your staff. That is all I have for you.

Mr. **Giugni**. Thank you very much, Mr. Chairman.

Senator **Reid**. We appreciate you and your staff being present.

[The following questions were not asked at the hearing, but were submitted to the Department for response subsequent to the hearing:]

ADDITIONAL COMMITTEE QUESTIONS

STAFFING COSTS

Question. What are the "mandatory and inflationary personnel increases" you refer to with regard to your personnel request?

Answer. The "mandatory" increases built into the staffing costs are the annualization of the January 1990 cost of living adjustment and 50% absorption of a prospective January 1991 cost of living adjustment. The "inflationary" increase refers to funding included to defray the costs associated with promotions and routine merit pay increases which may be granted subsequent to annual performance appraisals. The estimate approximates the actual accretion realized annually for such personnel actions.

Question. What factor did you use to calculate inflation adjustments by object class?

Answer. The object class for COLAs takes into account two separate actions: The recently authorized January 1990 COLA and the Prospective January 1991 COLA. Inasmuch as there wasn't the usual supplemental funding for the partial year costs of the COLA for FY90, the full 3.6% authorized for the January 1990 COLA is added to the salary base for FY91. Further, at the advice of OMB, 50% absorption of a prospective 3.5% January 1991 COLA is included. This computes to a 1.31% increase.

The object class for salary accretion was factored at 3%. This is requested annually to defray the costs associated with routine promotions and merit pay increases which may be granted subsequent to annual performance appraisals. The estimates approximates the actual accretion realized annually for such personnel actions.

Question. What lapse rate does your request assume?

Answer. In accordance with longstanding practice, the personnel request for the Office of the Sergeant at Arms is based upon full employment throughout the fiscal year. Experience has shown that 2.5% to 6% of the total amount appropriated for personnel costs will lapse at the end of the fiscal year.

Question. What lapse rate are you assuming for new positions?

Answer. In accordance with longstanding practice, new positions included in the FY 1991 request are based upon full year employment. Subsequent to Appropriations Committee action, it is anticipated that the Office of the

Sergeant at Arms will be prepared to fill most, if not all, of the 21 additional positions by October 1, 1990.

HUMAN RESOURCES

Question. You mention Senate office requests for management training as a part of the seminar program. What have been the nature of these requests and how have they been accommodated?

Answer. The interests and needs of Senate staff for specific seminar topics are determined by evaluations taken at the conclusion of each seminar presentation, through regular visits with the Democratic and Republican Office Manager groups and through the results of a Senate-wide survey conducted annually. Comments, suggestions and requests from these sources indicated that while the program was effectively meeting the needs of the Senate staff in such areas as legislative procedures and general Senate services, there was little available on management training issues. The seminar program has begun to meet the need through seminars on specific issues, e.g. Records Management, Personnel Administration/Employee management, etc. A comprehensive management training series is planned for Fall 1990.

Question. What do you see as the ultimate outcome of the Senate Health Promotion program? Will we eventually build a gym or similar facility? How will it be financed?

Answer. The goal of Health Promotion is to educate and encourage Senate staff to protect and promote their own good health. The potential benefits to the Senate include increased productivity, decreased absenteeism and turnover, improved morale and lower health costs. Virtually all of the health promotion programs in federal agencies, as authorized by 5 U.S.C. 7901, include an Employee Assistance Program (EAP) and a health facility. We are currently investigating the possibility of adding an EAP to assist employees whose personal problems affect their job performance. These problems may include alcohol or drug abuse or behavioral or emotional trouble. As for the health facility, a limited amount of space for exercise and weight rooms has been proposed for the renovation of the Old Post Office Building. Financing would be included as part of the overall cost for renovations.

TELECOMMUNICATIONS

Question. Why aren't we participating in FTS 2000? Aren't all Federal agencies bound to do so? What plans, if any, exist to coordinate Legislative Branch activities with FTS 2000?

Answer. Rather than FTS 2000, the Senate is participating in the Architect of the Capitol's Common Services Contract -- part of the Legislative Branch Telecommunications Plan -- which provides incoming long distance telephone service from State Offices at about 50% of the FTS 2000 cost. The Senate will utilize FTS 2000 for "after hours" FTS in Washington, D. C. Senate offices for the remainder of the period during which such service is offered at a flat rate.

Legislative Branch agencies (defined to include the Architect of the Capitol, the Botanic Garden, GAO, GPO, the Library of Congress, OTA, and CBO) are not bound to use FTS 2000. Section 307 of the FY 1989 Legislative Branch Appropriations Act (P.L. 100-458) permits these Legislative Branch agencies to utilize the competitively-awarded, lower cost Common Services Contract in lieu of FTS 2000.

Question. The Senate switch and services are obviously running well. Are there plans to extend our services to GPO/GAO or other Legislative Branch entities for whom existing rate stabilization agreements are soon to expire?

Answer. The Senate's contract with C&P provides that other users can be added to the telephone switch if the Senate approves. At present, the Office of Technology Assessment is the only other Legislative Branch agency on the Senate's switch. However, discussions about extending the Senate's switch and services to GPO/GAO have been underway with C&P and the Architect of the Capitol since July of 1988.

Recently, C&P proposed offering another DMS-100 to serve the needs of GAO, GPO, the new Judiciary Center, and other Capitol Hill locations at a competitive rate consistent with the Senate contract when adjusted for inflation and configuration differences. The switch could also serve as a back-up to the Senate's DMS-100 and any other legislative lines deemed critical. The Senate currently has limited back-up service using an AT&T System 75 switch.

Question. You are planning to spend $200,000 to procure a Capitol Exchange conference bridge. What will this equipment be used for and how much of a cost savings would result?

Answer. Bridging equipment is required for Capitol Operators to set up Senators' conference calls with as many as 28 conferees on one call, or four calls of 7 conferees each. The bridging equipment the operators are using today is outdated, and it can handle only four conference calls at any one time. Requests from Senators for conference calls in excess of the current capabilities must be handled by AT&T operators. Several models of state-of-the-art bridging equipment are being evaluated which will accommodate a larger number of conferees, provide improved sound quality, and enhanced functionality.

SERVICE DEPARTMENT

Question. Last year you indicated that the Job Shop requirements had increased by over 100%. Has this trend continued? If so, what have you done to accommodate these requirements?

Answer. The Job Shop workload increase to which you refer was in overnight, quick turn-around requests. Although this trend has continued, it seems to have leveled off. The Service Department accommodated this increase by acquiring high volume, automated copiers. If this trend continues to increase, the Service Department would have to look into acquiring additional high volume equipment for quicker turn-around, which is more expensive than conventional offset presses.

Question. Many offices seem to have moved to desktop publishing to lay out their newsletters and other notices. Has this decreased your workload? What, if anything, have you done to accommodate the growth of desktop publishing?

Answer. To the contrary, desktop publishing has increased the workload in our Pre-Press section. Senate offices use desktop publishing to draft their newsletters and other notices on disks, which they bring to the Service Department. Our staff then enhances the job with typesetting, layout, and graphics for a professionally finished product. In an effort to accommodate the growth of desktop publishing, the Service Department acquired two new systems in the Pre-Press section: the MacIntosh Desktop Publishing System, and the IBM Ventura System. We are training additional employees to use these systems to assist the individual offices with their projects. The Service Department fully supports desktop publishing in the Senate.

COMPUTER CENTER

Question. What is the status of the LEGIS upgrade? Can you give me some information about the new services that will be offered using this new software?

Answer. In January, we completed the procurement for Text Processing software to replace SCORPIO. Several projects are now underway to realize LEGIS 2000. The immediate priority is to implement the new Text Based Management System (TBMS) on the SCC mainframe. Two simultaneous tracks will be followed: the first will be to replace legislative applications now implemented in SCORPIO that are either failing or in drastic need of enhancement. One such application is the Full Text of Bills and Resolutions that cannot be further maintained or enhanced under SCORPIO. The second track is to identify, prioritize, and develop those textual information applications that are urgently needed and have not been possible to implement under SCORPIO. Additional efforts in FY 1991 will focus on improvements in the LEGIS system to make the system easier to access and use, to improve the accuracy and timeliness of LEGIS information, and to draw practical plans for the potential future integration of state-of-the-art technologies such as Imaging and Artificial Intelligence.

Question. We are hearing about more requests from offices to replace their current automation systems and install local area networks. Will the computer Center be able to "keep pace" with these requests for installation?

Answer. There has been an enormous increase in installation requests for PCs and LANs in the past year. This demand is expected to drastically increase during the next fiscal year as another class of Senators uses their economic allocation funds. We plan to make heavy use of outside contractor assistance to meet this expected demand with close monitoring of performance and quality control by SCC personnel. An RFP is currently under development which will address many areas, including installation support for the next several years. The RFP is expected to be awarded before October 1, 1990.

Question. How will you be able to provide support to Senate offices for all these different systems in an expeditious manner, and how do you see future activities being supported?

Answer. Just as demand for installations will increase, the need for quality support will increase as well. Heavy use of contract support is envisioned. As stated earlier, we are currently developing an RFP for office systems support and expect an award before October 1, 1990. The role of the SCC will evolve from a direct office systems support organization into a more "value added" organization to assist offices in taking maximum advantage of the technologies provided. This can be stated in another way: we will evolve from a hardware/software installation/troubleshooting organization into a "value added" organization that assists offices in adapting the technologies to meet specific office needs.

TELEVISION AND RECORDING STUDIOS

Question. Which committee hearings have been carried to date on the Senate cable channels and are there any planned for the near future?

Answer. To date, twenty committee hearings have been carried on the Senate cable channels. These include six Budget hearings, six Foreign Relations hearings, three Banking hearings, and one hearing each for Agriculture, Armed Services, the Aging Committee, Judiciary, and

Veterans' Affairs. Requests have been received from the Budget and Foreign Relations Committees for a continuation of broadcasts of their future hearings.

Question. When do you expect the joint Sergeant at Arms/Architect of the Capitol evaluation of the Senate floor audio systems to be completed? Would you briefly describe the requirements and possible costs of replacing the current system with an updated system?

Answer. It is anticipated that this project will be completed within the next three months. Presently the evaluation is centered on different microphone styles and configurations to correct the handling and operational problems of the present microphones. In addition to an improved microphone system, the requirements of the replacement sound system will be enhanced sound quality in the Chamber as well as for broadcast quality audio for radio and TV broadcast. The cost for the comprehensive upgrade of the present system, originally installed in 1974, is estimated to be approximately $1.3 million. A request for this amount is being sought by the AOC in his FY 1991 budget submittal.

QUESTIONS SUBMITTED BY SENATOR DON NICKLES

COMPUTER CENTER

Question. Your largest single requested increase in expenses and new positions ($4,329,000 and 8, respectively) is for the Senate Computer Center. For the record, please give the Subcommittee a full accounting for the need and distribution of these increases?

Answer. Almost all of the Computer Center's increase of $4.3 million in expenses and 8 positions is due to the implementation of the Constituent Services System (CSS) on Senate owned and operated facilities. These costs include about $2 million for a mainframe upgrade and $2 million in development and delivery. Right now the Senate pays a vendor more than $3 million a year to run these services on equipment and software that everybody agrees needs major upgrades. The investment will give us a better product and just about pay for itself in 5 years.

The introduction of Constituent Data Bases will provide online access to approximately 1 million to 5 million names and addresses per Senator. In addition, CSS will require heavy transaction processing. Furthermore, the use of the mainframe as a database server will require not only the raw capacity gains of newer computers, but will also rely heavily on the new software capabilities of the new computers to manage massive amounts of on-line storage. Besides CSS, increased acceptance and utilization by the Senate community of access to the full text of bills and resolutions is also expected to add burden to our computing resources.

The current CMS program runs on 7 processors at our vendor's facilities in Pittsburgh, Pennsylvania. The service is provided 7 days per week, 24 hours per day, of which users have online access for 18 hours per day. We plan to run the new CSS on Senate owned and operated processors. While it will run in our current mainframe environment, to provide the comparable availability will require that our Central Operations expand from 6 days per week to 7 days per week, 24 hours per day, to provide the necessary coverage. In order to support these expanded hours, we are requesting 4 additional positions in our Central Systems Division. We are also requesting 2 positions in our Education and Support Services Division for training and hot line support along with 2 additional positions in our Office Systems Divisions for installation and software support. The complexities of the changes found in CSS, the incorporation of a major new constituent data base, and the major conversion effort of both data and office procedures, will create a need for extensive support for the offices. A significant number of visits to state offices will be required to ease the transition and conversion. While development is being provided under contract with Oracle Corporation, most office support will be provided by Senate staff. For comparative purposes, it is projected that the number of concurrent users of the new system will be double or triple that of the current facility, creating the need for a substantial support effort.

Question. When can we expect to receive an estimate of the total cost of the Senate Data Communications Network? Do you have any idea when a procurement contract for this project will be awarded?

Answer. We are currently involved in negotiations with potential parties in this procurement and expect to receive revised bids by April 6, 1990. If all technical, management, and cost issues have been covered and there are no major open issues, we should be able to provide a cost estimate to you by April 20, 1990. Upon determination of the most successful bidding arrangement, a live test demonstration (LTD) will be conducted to ensure that what has been proposed does, in fact, work, and will meet the requirements of the Senate. The LTD will take place in two phases, with completion by mid-June. If all final issues have been negotiated and resolved, we expect to forward a recommendation to the contracting officer by the end of June or the beginning of July, for presentation to and approval by the Senate Committee on Rules and Administration. Award of the contract will be made by the Rules Committee.

SERVICE DEPARTMENT

Question. With the passage of Senate Resolution 212 last November, I would expect that the number of mass mailings would decrease in this fiscal year. Have you made any downward adjustments in the Service Center's budget request to reflect this expected decrease in mailings?

Answer. As you have indicated, there has been indeed a decrease in mass mailings due to the recently adopted mass mail regulations. However, any budgetary "windfall" from decreased printing of mass mail has served to offset increased costs associated with other types of printing. In the last couple of years there have been dramatic increases in CMS letter production, graphics, charts, visual aids, as well as the introduction of braille printing. The attached graph illustrates the correlation of increasing printing services and mass mail.

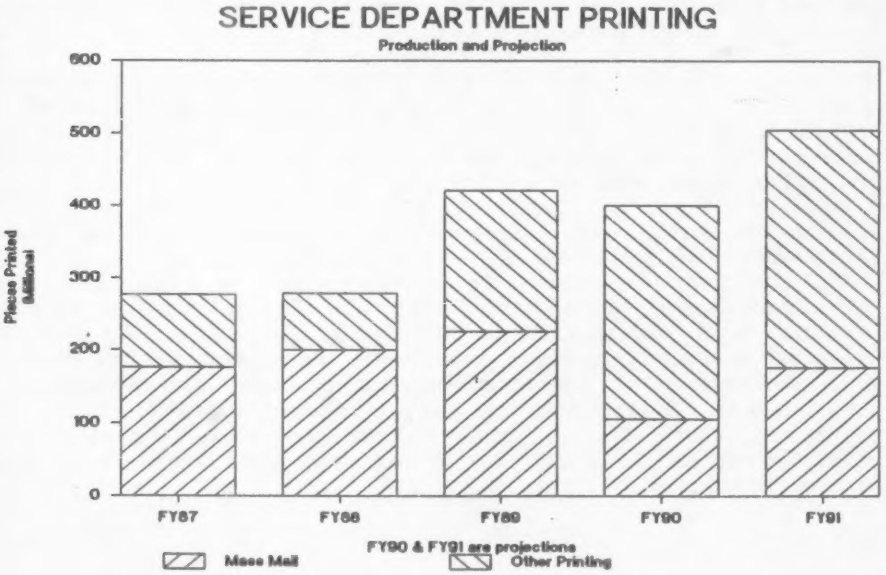
- In FY87, 276.7 million pieces were printed of which 176 million were mass mail.

- In FY88, 278.8 million pieces were printed of which 200 million were mass mail.

- In FY89, 422 million pieces were printed, of which 226 million were mass mail.

- In FY90, we project that 401 million pieces will be printed, of which an estimated 106 million will be mass mail.

- In FY91, we project that 505 million pieces will be printed, of which and estimated 176 million will be mass mail.



TELECOMMUNICATIONS

Question. I was surprised to see in your statement that the projected increase in Telecommunications' expenses of $1,135,000 is almost completely attributable to local telephone services. Please explain the cause of these local charges, and provide the Subcommittee with recommendations on how we can reduce these charges.

Answer. The three major components of the local service increase are: switch/line/peripheral equipment maintenance, message units, and directory assistance. Overall, the local service increase accounts for approximately $1.1 million of the $1.7 million Telecommunications Department increase.

The local telephone company's (C&P) charge for maintenance increase about $500,000, slightly less than half of the increase in this category. The Senate has no control over this increase since C&P is the sole provider.

Increases in the areas of message unit and directory assistance charges are due to the dramatically higher volume of these calls made by Senate employees, over which the Telecommunications Department has no control.

Message units are incurred for local calls from Senate telephones (e.g., calls to government agencies, businesses, residences, "Weather", "Time", etc., in the Washington Metropolitan area). Almost half of the increase in local service charges is due to the higher volume of message unit calls, as shown in the following chart:

Message Unit Calls ($.067 each)

	1989	1990	Increase
No. of calls/month	686,600	1,300,000	613,400
Cost of calls/month	$46,000	$87,100	$41,000

Calls per year. 7,360,000
Cost per year . . . . $ 493,174

Calls for local Directory Assistance (9 + 411) are charges at $.26 each and for long distance Directory Assistance (9 + 1 + Area Code + 555-1212) at $.60 each. Local Directory Assistance calls have increased by about 14,000 calls per month, which amounts to a $43,680 increase for the year. Long distance Directory Assistance calls have increased by about 10,000 calls per month or about $72,000 more per year.

The Telecommunications Department has attempted to reduce message unit and directory assistance charges by:

- publicizing the fact that message unites are incurred when staff dial "Weather" or "Time" and encouraging the use of cable TV information, clocks and newspaper; and

- providing Senate offices with current telephone directories for the Washington Metropolitan area and the major cities in each Senator's home state.

However, the Telecommunications Department has no control over the number of message unit and directory assistance calls made by Senate staff. A possible way to reduce these costs would be for the Senate to authorize charging back these costs to each office. While charging back to offices alone would not save the Senate money, such a system could result in a limitation on such calls being instituted by each office manager.

PARKING

Question. There have been some significant changes in employee parking over the past few months. Will there be a need to provide new parking facilities for Senate employees as a result of the construction of the Judicial Administration building near Union Station?

Answer. Yes, and it has already occurred. The construction of the Judiciary Annex north of Massachusetts Avenue and east of Union Statio has resulted in the loss of approximately 500 parking spaces. The bulk of the alternate parking for affected staff was provided by the Architect of the Capitol by securing 467 spaces in the Union Station parking garage. Further, approximately 35 additional spaces were recently created on Delaware Avenue by converting parallel curb parking to angled parking.

Question. Could you explain what criteria are necessary for Senate employees to be eligible for handicapped parking permits? I have noticed that there are three lanes for handicapped parking in lot 18, but few, if any, of the cars have handicapped license plates.

Answer. For the location you have indicated, the Senate Parking Office has a standard application form for handicapped parking permits which must be signed by the employing Senator, Chairman, or Officer, and accompanied by a statement from the employee's physician indicating the need for special parking accommodations. Temporary handicapped permits are issued as well for individuals who may be temporarily disabled, e.g. broken leg, sprained ankle, etc. Consequently, there isn't necessarily any correlation between handicapped license tags issued by state motor vehicle administrations and the handicapped parking permits issued by the Senate Parking Office. It has also been our experience that there are many individuals who, for personal reasons, eschew handicapped license tags for which they are eligible.

HUMAN RESOURCES

Question. The Senate Health Promotion Program has been a tremendous success. Have any calculations or projections been made of the savings in lower absenteeism or other benefits that can be attributed to this program?

Answer. Because each Senate office maintains its own policies and records on attendance and leave, it is not possible to compile statistics on a Senate-wide basis. However, the one indication of the impact of the Health Promotion Program, which includes safety education, may be evidenced by the reduced number of Workers' Compensation claims (the Office of the Sergeant at Arms processes claims for all Senate employees): in FY88 there were 90 claims; in FY89 there were 48 claims. Please note that the program has only been operational with full authority since November of 1989.

Question. What types of services are available to assist hearing impaired Senate employees, and what level of funding is requested for these services? How many hearing impaired persons are employed in by the Senate?

Answer. There are approximately 12 hearing impaired staffers employed by the U.S. Senate. Services available through the new joint Congressional Special Services Office include sign language interpreting, Telecommunications Devices for the Deaf (TDDs) and telephone relay services for callers who do not have a TDD. In addition, the Congressional Special Services Office provides TDD and sign language training to hearing staffers to enable them to communicate with hearing-impaired staff and constituents. The Office also plans to purchase audio loops to enhance communications with individuals who have minimum hearing. The Office also provides sign language tours of the Capitol for visitors and constituents.

The total FY91 budget request of the Congressional Special Services Office is $254,695, which includes staffing and services for all disabilities. In addition, the budget request of the Senate Sergeant at Arms includes $13,000 for expenses associated with commercial sign language services and $32,000 to employ an certified sign language interpreter.

RECORDING, TV AND PHOTOGRAPHIC STUDIOS

Question. Please provide the Subcommittee with the description of the 7 new positions which are being requested for the Recording, TV and Photographic Studios.

Answer. The Photographic Studio is requesting one messenger position to deliver photographic orders to Senate offices. The Recording and Television Studio is requesting one editor position to edit and record the daily news program broadcast over the Senate cable system. With the increasing demand for closed-circuit committee broadcasts, 5 positions are requested to fully staff an additional crew required for broadcasting outside of the Studio facilities. These positions (3 camera operators, 1 production/technical director, and 1 chyron/videotape operator) would be used to back up Recording and TV Studio personnel when not involved in committee broadcasts.

CONGRESSIONAL BUDGET OFFICE

STATEMENT OF DR. ROBERT D. REISCHAUER, DIRECTOR

ACCOMPANIED BY:

ROBERT W. HARTMAN, ACTING DEPUTY DIRECTOR

C. WESLEY JENKINS, CHIEF, DATA BASE ADMINISTRATIVE UNIT

DAVID DELQUADRO, DIRECTOR OF PERSONNEL

DANIEL ZIMMERMAN, CHIEF, SYSTEMS DEVELOPMENT AND RESEARCH UNIT

POLLY HODGES, BUDGET AND FINANCE OFFICER

MARK DESAUTELS, INTERGOVERNMENTAL RELATIONS UNIT

STANLEY L. GREIGG, DIRECTOR OF INTERGOVERNMENTAL RELATIONS

ALFRED FITT, GENERAL COUNSEL

PREPARED STATEMENT

Senator REID. Our final witness this morning is Dr. Robert D. Reischauer, Director of the Congressional Budget Office. The Congressional Budget Office is requesting a total of $21,723,000, which is currently $2.5 million more than currently available.

Without objection, Dr. Reischauer, your prepared remarks will be placed in the record in full. We would ask that you introduce anyone with you and that you summarize your formal statement.

[The statement follows:]

STATEMENT OF ROBERT D. REISCHAUER

Mr. Chairman and Members of the Subcommittee, I am pleased to present the fiscal year 1991 budget request for the Congressional Budget Office (CBO). CBO is a nonpartisan analytic organization that furnishes the Congress with information and analyses on issues relating to the U. S. economy, the federal budget, and federal programs. CBO does not make policy recommendations, but presents the Congress with options and alternatives in a wide range of subject areas, all of which have economic and budget impact.

This year marks CBO's 15th year of support to the U.S. Congress. For a decade and one-half, CBO has served the Congress in a professional manner and has, I believe, performed its duties with distinction. But the hallmark of CBO's success--clear, concise economic and budget analysis delivered in a timely manner--has resulted in an increasing demand for its products. So that, while the components of our budget have not changed--basically people and computers--CBO's need for additional resources to meet Congressional demands continues to increase. The budget I am seeking today is, however, what I believe to be the minimum necessary to perform adequately the tasks requested of us by the Congress.

BUDGET REQUEST

For fiscal year 1991, we are requesting $21,723,000, an increase of 13 percent, or $2,494,000, over our estimated fiscal year 1990 operating level of $19,229,000. The increase is not attributable to any new discretionary spending. It does give the agency the resources necessary to staff to its authorized level of 226 positions. However, let me emphasize, Mr. Chairman, that this request is sufficiently lean that CBO will probably have to absorb a number of costs it previously did not have to bear. CBO is not requesting any additional staff positions.

Of CBO's requested increase, $1,809,000, or 73 percent, is for personnel-related expenses. Our current appropriation supports 218 positions and, as Congressional demand for CBO work continues to be strong, we believe it is important to fund to our authorized ceiling level of 226 positions.

Our request also includes an additional $202,000 for ADP and an additional $289,000 for systems, data and model development work in fiscal year 1991. Our 1991 budget request for ADP is still 5 percent below our actual spending in fiscal year 1988 and more than 26 percent less in nominal terms than what we spent in this area in 1983. The systems, data, and model development increase, while appearing significant, does no more than restore spending in this critical area to more appropriate levels after a year in which spending was constrained as a result of sequestration. Spending for systems, data, and model development is still only 1.8 percent of our total budget. The remainder of our requested increase, $194,000, is spread across a broad array of areas, including travel, printing, supplies, and training, and is the result of increase in both prices and workload.

Before discussing our request in detail, I will review for the Committee the principal services that CBO provided the Congress during this past fiscal year.

CURRENT CBO SERVICES TO THE CONGRESS

Once again, in fiscal year 1989, CBO played a key role in supporting Congressional action. Last spring, CBO provided analytic support to the bipartisan committee of Congressional leaders in the budget summit negotiations with the Executive Branch. Much as we did during the first budget summit in the fall of 1987, CBO produced cost estimates and projections of the budgetary effects of various spending and revenue proposals throughout the summit and CBO numbers were used to fashion the final agreement.

Two other issues highlighted CBO's work for Congress in 1989: the S&L bailout legislation and the Medicare Catastrophic Coverage Act debate. In both instances, CBO provided the Congress with extensive cost and policy analyses of exceedingly complex issues and in both instances CBO's analysis had an important impact on the outcome of the debates.

As always, Mr. Chairman, CBO studies are done at the written request of chairman of full committees, subcommittees, and budget task forces, the ranking minority member of full committees, and the leadership on both sides of the aisle. In keeping with the intent of the

Congressional Budget Act of 1974, we do not undertake studies that do not have clear budgetary and economic implications.

The Balanced Budget Reaffirmation Act

The Balanced Budget and Emergency Deficit Control Reaffirmation Act of 1987 (Public Law 100-119) continued many of the tasks assigned to CBO by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177). Although CBO's role in the current sequestration process is advisory, the agency must still prepare very detailed reports estimating whether or not the proposed budget conforms to the Reaffirmation Act's deficit targets.

In fiscal year 1991, CBO will compile two sequestration reports. Preparing these sequestration reports remains a major undertaking. CBO analysts review over 1,000 budget accounts and apply cuts, as specified in the law, where necessary. In addition, the report must be prepared for publication in the Federal Register, all within a five-day deadline.

In addition to the sequestration report, the Balanced Budget Act gives the Director of CBO responsibility for alerting the Congress to a recession or downturn in the economy that might warrant suspending the deficit targets. CBO did not see the need to make such a report in 1989, and our current economic forecast does not envision a recession.

The Balanced Budget Act also requires CBO to provide the Congress with a report on unauthorized appropriations and expiring authorizations. This year, we filed that report with the Congress on January 16.

Finally, the Reaffirmation Act directs CBO, in consultation with the General Accounting Office, to study and report to the Congress on federal credit programs. In December, CBO published *Credit Reform: Comparable Budget Costs for Cash and Credit*, which addresses a number of credit reform issues and makes specific recommendations, as required by the Reaffirmation Act.

The Budget Act of 1974

The Congressional Budget Act of 1974, as amended, mandates that CBO prepare certain reports on a regular basis and that it undertake other studies in response to Congressional requests. Specifically, CBO carries out the following tasks: it maintains current tabulations of Congressional revenue and spending actions (scorekeeping); prepares five-year cost estimates for bills reported by the authorizing committees; prepares outlay estimates for bills providing new budget authority; supplies information on tax expenditure and revenues; annually reports projections of new budget authority, outlays, and revenues for the coming five fiscal years; estimates the cost to state and local governments of carrying out or complying with federal legislation; prepares periodic forecasts of economic trends and alternative fiscal policies; and analyzes issues that affect the federal budget.

Scorekeeping

CBO provides the Congress with up-to-date tabulations of Congressional actions on revenue and spending bills. These tabulations are used, particularly by the Budget and Appropriations Committees, to measure the status of Congressional budget actions relative to the targets or limits specified in the concurrent resolution on the budget.

The bulk of CBO scorekeeping activities involves spending actions. The spending side of the federal budget is complex, consisting of more than 1,000 separate accounts. Furthermore, the Congress acts each year on a large number of individual legislative bills that affect spending, including 13 appropriation bills. CBO's scorekeeping system keeps track of Congressional action on all these bills from the time they are reported from committee to the time when they are enacted into law. As a result, the CBO scorekeeping data base for budget authority and outlays is very complex, and keeping it current represents a major effort.

CBO scorekeeping estimates are derived from its analysis of the President's budget, baseline budget projections, and bill cost estimates, as well as from the economic assumptions used for the concurrent budget resolution. CBO reviews its scorekeeping estimates on a comprehensive basis at least twice a year to incorporate new information provided by the Office of Management and Budget (OMB) and other federal agencies, revised economic assumptions that may be adopted by the Budget Committees, and other relevant data.

Specially designed computer scorekeeping reports are provided weekly, and sometimes daily, to the Budget and Appropriations Committees. Frequent letters are also sent to the Chairmen of the two Budget Committees to advise them on current budgetary levels. In addition, advisory letters have also been sent on request to the Chairman of the Senate and House Appropriations Committee on the budgetary impact of individual appropriation actions, such as a supplemental appropriation bill or a continuing resolution. The CBO automated scorekeeping data base is also used to provide special computer reports to the Appropriations Committees to use in preparing their February 25th reports, and in dividing budget resolution allocations among subcommittees.

CBO also prepares a weekly automated report on the legislative status of selected entitlement and other bills that would directly affect budgetary requirements. Similar reports provide information on the legislative status of bills affecting credit activities, bills providing required authorizations for requested appropriations, and proposed revisions of the Budget Act. Copies of these reports are provided to the staffs of the Appropriations and Budget Committees of both Houses.

Baseline Budget Projections

Each year, CBO prepares a new set of baseline budget projections. The projections take as their starting point the budgetary decisions made by the Congress through its most recently completed session and show what would happen to the budget if no new policy decisions were made during the next five fiscal years. These projections do not represent a forecast of future budgets, because the Congress does make numerous new policy decisions in response to changing national needs and economic circumstances. They do provide, however, a useful baseline or benchmark against which proposed changes in taxes or spending policies may be measured and assessed. A longer-term framework is helpful in making annual budget choices, since these decisions sometimes have little impact on the budget in the short run. They do, however, significantly influence relative budget priorities over a period of several years. Because the annual budget resolution now includes a credit budget component, CBO also prepares baseline budget projections for federal credit activities.

CBO's capability to do budget projections has enabled the Congress to move more and more in the direction of multiyear budgeting. In the past, both Budget Committees have used CBO's baseline budget projections as a starting point for formulating their recommendations for the annual budget resolution. The CBO baseline spending projections are distributed to the Appropriations Committees and the authorizing committees as background information for preparing their "views and estimates" reports to the Budget Committees, now required by February 25th. The Budget Committees then use the CBO baseline projections in their budget resolution markup materials to assess how spending and revenues should be altered in the future to meet fiscal policy goals and national needs. Both Budget Committees include three-year targets in their recommended budget resolutions.

The CBO budget projections took on an added role in the 1980s. They now serve as the baseline for computing the spending reductions to be achieved in the budget reconciliation process. Moreover, CBO has made similar use of baseline budget projections in its bill cost estimates for calculating the costs or savings that would result from legislative proposals to change existing law. This process is particularly important for calculating the budgetary effects of changes in various entitlement programs.

The growing use of budget projections requires CBO to maintain a large multiyear data base on a year-round basis. CBO now provides both Budget Committees with numerous sets of five-year projections of revenues and spending throughout the year, usually in the form of computer tabulations. In addition, CBO publishes annually a five-year budget projections report at the beginning of each session of the Congress and updates it each August.

CBO's current baseline projects a deficit of $159 billion in fiscal year 1990 and $161 billion in fiscal year 1991, declining to $110 billion by 1995.

The concept of a budget baseline was incorporated in the Balanced Budget Act for determining the need for and magnitude of across-the-board spending reductions to meet specific deficit targets. When the act was amended to correct the constitutional defect, in 1987, the baseline concept was also modified to approximate more closely the methodology we use in our baseline projections. The major change was to include a factor for inflation and pay adjustment in projecting discretionary appropriations.

Again this year, as last, the CBO baseline is virtually identical to the budget base as specified in the Balanced Budget Act. For 1991, therefore, the CBO baseline deficit estimate is identical to CBO's estimate used for computing the excess deficit as part of the sequestration process. Having a single baseline is intended to help focus attention on the fundamentals of the budget situation and reduce any confusion stemming from minor conceptual differences in our budget projections.

Analysis of the President's Budget

The Congressional Budget Office carefully reviews the budget estimates that the Administration submits to the Congress. Where necessary and appropriate, CBO reestimates the Administration's budgetary proposals using its own economic assumptions and technical estimating methods.

The economic assumptions used by the Budget Committees to formulate the annual budget resolutions usually are different from the assumptions the Administration used to prepare the President's budget. A different set of economic assumptions may significantly alter the budgetary impact of the President's proposals. Both Budget Committees periodically ask CBO to reestimate the President's budget using different economic assumptions.

CBO has an independent capability for estimating the impact of various budget proposals on budget outlays. To keep these techniques and methods as accurate as possible, CBO staff carefully monitor both actual spending trends, as reported monthly by the Treasury, and various program data series that provide information on recent trends in the use of federal benefits and services, the growth in beneficiary populations, and other factors affecting federal spending. CBO uses these independent methods to reestimate the effect of the President's budgetary proposals. In recent years, these so-called "technical reestimates" have been significant.

In addition to reviewing carefully the Administration's budget estimates, each year, CBO prepares an analysis of the President's budgetary proposals. This publication is requested annually by the Senate Committee on Appropriations to assist Members and staff in preparing for overview hearings on the Administration's annual budget. The report discusses the economic outlook for the next several years and the possible economic impact of the President's proposals. It also presents CBO's reestimates of the budget impact of these proposals based on alternative economic assumptions and on CBO's estimating techniques and methods.

CBO's latest version of this report, *An Analysis of the President's Budgetary Proposals for Fiscal Year 1991*, estimates that the Bush Administration's budget proposals would cut more than $30 billion from the projected 1991 deficit, bringing it down to $131 billion. CBO's deficit estimate is almost $70 billion higher than the Administration's, largely because the Administration's budget makes no allowance for the sizable needs of the Resolution Trust Corporation (RTC) for working capital and because of the use of more optimistic economic assumptions.

Bill Cost Estimates

CBO prepares cost estimates for virtually every public bill reported by legislative committees in the House or Senate that would have a budgetary impact. CBO also prepares numerous cost estimates at committee request for use in earlier stages of the legislative process. CBO's bill cost estimates have become an integral part of the legislative process. Committees refer to them increasingly at every stage of bill drafting, and they have an impact on the final outcome of legislation.

The number of such bill cost estimates prepared each year varies, depending on the amount of legislation being considered and reported by legislative committees. For 1989, the number of individual cost estimates was 603, as shown in Table 1.

A large part of CBO's bill costing in previous years was for the House and Senate Committees receiving reconciliation instructions in the budget resolution. CBO's tracking system for bill cost estimates has treated work on the reconciliation proposals as if they were a few

TABLE 1. BILL COST ESTIMATES (Formal and informal)

	1982	1983	1984	1985	1986	1987	1988	1989
Federal Estimates	747	676	687	601	667	743	771	603
State and Local Estimates	4	573	641	533	588	531	675	470

large bills. As a result, this system understates the true workload shown in the figures in Table 1 for 1982 through 1989. Work on a reconciliation bill alone is equivalent to several hundred bill cost estimates.

In addition to cost estimates for bills reported by legislative committees, CBO also provides the Appropriations Committees with estimates on outlays for all appropriation bills. These outlay estimates are prepared for each appropriation account and are transmitted to the staffs of the committees largely in the form of computer tabulations. For example, many reports display both budget authority and outlay data in the Comparative Statement of Budget Authority (CSBA) formats used by the Appropriations Committees. Judging by the number of inquiries that CBO receives, it is fair to say that our estimating function is, by far, the most extensive of any legislative body in the world. CBO is always pleased to furnish technical assistance to other bodies interested in following the U.S. Congress as a model.

State and Local Government Cost Estimates

The State and Local Government Cost Estimate Act, enacted in late 1981, temporarily expanded CBO's responsibilities for bill costing by requiring estimates of the cost that would be incurred by state and local governments as a result of proposed federal legislation. The Reaffirmation Act made this requirement permanent.

CBO reviews as many bills as possible to identify their potential impacts on state and local government costs. We focus on bills that, in our judgement, are likely to result in an aggregate annual cost to state and local governments of at least $200 million, or to have exceptional fiscal consequences for a geographic region or particular level of government. During 1989, CBO prepared state and local cost estimates for 470 bills. Of these bills, CBO estimated that 7 bills had an aggregate annual cost exceeding the $200 million threshold, 59 were below the threshold but had some potential effect on the budgets of state or local governments, while 404 had no impact.

Economic Forecasts and Fiscal Analysis

Each fiscal year, CBO provides the Congress with two reports on the economic forecast. The first is issued early in the legislative session to coincide with Congressional consideration of the concurrent resolution on the budget. The second report, issued in mid-August, provides the economic basis for CBO's advisory sequestration reports in August and October.

CBO does not maintain its own macroeconomic model of the economy. Instead, it uses the major commercially available econometric models: Data Resources, Inc., the WEFA Inc., Washington University Macroeconomic Model, and Ray Fair Economic Model. Moreover, CBO has developed, in conjunction with the International Monetary Fund, an international econometric model to help track this increasingly important aspect of the nation's economy. We also rely on the advice of a distinguished panel of advisers who represent a wide spectrum of economic views. The panel meets semiannually, before a new forecast is issued, and the panel is supplemented from time to time with guests possessing expertise in particular areas of interest. Appendix A to this statement lists the current members of the panel.

The reports issued in January and August of 1989 focused on recent economic developments, discussed fiscal and monetary policy, forecast short-term economic trends, projected long-term trends, and detailed the federal budget outlook under these economic assumptions. CBO must continuously use various models of the economy to comply with the requirements of the Balanced Budget Act that it report to the Congress if it foresees a recession. With the growing internationalization of the U.S. economy, the task has become more complex, since it is increasingly important to monitor developments abroad as well as in the United States.

More and more, the Congress is concerned with the way in which fiscal policy, as well as specific federal programs, affects the overall economy. Recently, CBO has enhanced its analytic capabilities in such areas of Congressional interest as the financial condition of thrift institutions, international debt, national savings, and U.S. living standards. Studies currently under way include an analysis of the Brady Plan, the outlook for national savings, and issues and measurements of the budget deficit.

Tax Analysis

With each new economic and budget baseline forecast, CBO provides the Budget Committees with a set of standardized tables providing considerable background detail on CBO's baseline revenues and estimates of recent tax legislation. The Budget Committee staff members have found these tables very useful.

CBO also provides several sets of five-year baseline revenue estimates based on alternative economic forecasts developed by the staffs of both Budget Committees. Most of these are done to aid the staffs in preparing the budget resolution.

Revenue scorekeeping reports, with bill-by-bill detail, are sent biweekly, or as needed, to the staffs of the Ways and Means, Finance, and Budget Committees. The reports provide five-year estimates of the revenue effects of each tax bill on the legislative process, and compare the cumulative revenue effects of enacted legislation with the targets set in the budget resolution. The revenue estimates shown in the reports are drawn from CBO cost estimate letters and are furnished to the tax-writing committees when each tax bill is reported.

The CBO staff continued to provide estimates of the revenue effects of many alternative deficit reduction plans. CBO is also working on a number of aspects of the capital gains tax issue and expects shortly to publish reports on the distributional benefits from a reduction in the capital gain tax rate, different methods of reducing the rate, and prospective versus retrospective capital gains cuts. In addition, CBO has under way a study of tax changes that might stimulate private savings.

Program Analysis

The CBO's program divisions--Human Resources, Natural Resources, National Security, and the General Government unit in the Office of Intergovernmental Relations--respond to requests from Congressional committees to analyze issues and options that help the Congress anticipate the consequences of legislative proposals. Four types of products illustrate the range of efforts carried out by the program divisions:

- o Formal and informal cost estimates and other budget analytic work analogous to, or in support of, the efforts of the Budget Analysis Division. Often this work involves developing simulation models to estimate the impacts of technical and other changes in legislation;

- Short-term policy analyses, usually to estimate the likely effects--other than costs--of proposed legislation;

- Longer-term analyses of broad issue areas, considering a full range of policy options. These projects typically result in published papers; and

- Testimony at Congressional hearings, which often follows from other work we have done.

The principal responsibility of the program divisions is to assist Congressional committees in examining the effects of legislative policy options on the budget. Over the years, CBO has responded to requests for analyses of key program issues from almost every committee of both Houses of the Congress.

In fiscal year 1989, CBO's program divisions completed 17 such reports for 8 Congressional committees--4 in the House and 4 in the Senate. Appendix B of this statement shows the distribution of all reports completed by CBO for Congressional committees in fiscal year 1989.

The subject areas of these reports have typically reflected the major budgetary issues before the Congress and the nation. Our program divisions support Congressional debate by organizing and presenting policy goals, often scattered among disparate programs in different budget functions and tax provisions, into a single analysis. In this way, the Congress can see more clearly whether its policies are having the intended effect.

Some recent studies of this type are *Current Housing Problems and Possible Federal Responses* and *Agricultural Progress in the Third World and its Effect on U.S. Farm Exports.*

Much legislation with purposes not closely related to the federal budget nevertheless has important budgetary and economic consequences. Many committees have shown a strong interest in the analysis of the effects of such legislation. These analyses often expand and complement information provided in a CBO cost estimate.

In 1989, CBO provided Congress with several such reports, including: *The Outlook for Farm Commodity Program Spending, Fiscal Years 1989-1994* and *Alternative Compensation Plans for Improving Retention of Air Force Pilots.*

In terms of direct support of the budget process by the program divisions, CBO studies often address the budgetary implications of changes in program emphasis or direction or changes in the carrying out of new initiatives. Committee interest in such analyses may be prompted by budget constraints or by the perception that existing programs may be inefficient or have outlived their original intent.

Recent CBO studies along these lines include: *Risks and Benefits of Building the Superconducting Super Collider*; *The Status of the Airport and Airway Trust Fund*; *Strategic Defenses: Alternative Missions and Their Costs*; and *Subsidies Under Medicare and the Potential for Disenrollment Under a Voluntary Catastrophic Program.*

Based on current committee requests, CBO expects to complete a large number of reports this fiscal year. We further assume that our level of activity in fiscal year 1991 will be similar to that in fiscal year 1990. CBO's program divisions have remained remarkably stable in terms of staffing and funding since the inception of CBO. Through the years, they have accounted for approximately one-third of CBO's staff positions and a little more than one-quarter of the funding.

Published reports are only the most obvious example of the analytic support that the program divisions provide to the Congress. Regularly, short-term analysis in the form of staff memoranda and letters is provided to committee staffs by the program divisions. In addition, CBO is frequently called on by committees to testify. During the last fiscal year, CBO was called upon to testify on 27 separate occasions. This testimony is often in connection with an ongoing or completed report, though we sometimes prepare new analyses for such appearances.

Finally, our program divisions have developed a number of sophisticated analytic computer models of federal programs. The output from these models is provided to our Budget Analysis Division for use in its cost estimates, and program analysts frequently help revise or improve existing BAD models. This capability allows our program units to respond to requests that require sophisticated analytic treatment, such as simulating the effects of options on beneficiaries of federal programs. Similarly, the program divisions have developed models, both for the budget committees and authorizing committees, that estimate the costs and revenues of specific programs. The models are used by the committees to respond to proposals made during the markup of legislation.

The requests and demands made of our program units have not lessened under the Balanced Budget Act. The Congress, to carry out its policy objectives during these times of severe fiscal constraint, is considering numerous new and innovative approaches in an increasing number of program areas. CBO is being called on to evaluate and analyze many of these proposals and to put them in a budgetary context. In addition, the Congress will need to continue to assess the programmatic and policy implications of budget reductions. The CBO program divisions have the resources in place to provide information as the Congress makes these important reassessments.

ORGANIZATION OF CBO

For management and administrative purposes, CBO is divided into seven divisions. While the functions of the divisions are unique, the work of each is highly dependent on that of the other, and I would like to take time today to share with you how this "crosswalk" works.

Three of our divisions--the Budget Analysis, Fiscal Analysis and Tax Analysis Divisions--primarily support the needs of the House and Senate Budget and Appropriations Committees for accessible, comprehensive, and technical budget and economic information. The other four divisions--Natural Resources and Commerce, National Security, Human Resources and Community Development, and the General Government unit of the Office of Intergovernmental Relations--provide key support, often early in the legislative process, to the budget and authorizing committees in analyzing various programmatic and policy options and their associated costs. To perform these tasks, each unit must collaborate with the others.

For example, the economic assumptions developed by the Fiscal Analysis Division serve as the basis for our cost estimating, projections, and analysis of issues. The budget numbers developed by the Budget Analysis Division often depend on methodological studies done in the program divisions. Finally, all numbers developed in connection with analytic studies are reviewed by the cost analysts in the Budget Analysis Division. This crosswalk among our divisions is absolutely essential to our ability to provide accurate cost estimates and comprehensive analyses of alternative legislative strategies.

The interdependence of our organization is best exemplified by the report, *Reducing the Deficit: Spending and Revenue Options*. Over the years, many Members of the Congress have told us they find this to be one of the most useful documents we produce. The study describes several broad strategies for reducing the federal deficit and analyzes numerous specific spending and taxing options for carrying out those strategies. Each option lists the outlay savings or revenue increases that would result from its enactment. The Fiscal Analysis Division prepares the economic assumptions used in the report. The Budget Analysis Division prepares the baseline projections using these economic assumptions. The program divisions develop strategies and options. The cost analysts in the Budget Analysis Division provide the savings estimates associated with each option. The Tax Analysis Division provides the analysis of revenue increases.

THE FISCAL YEAR 1991 REQUEST

As I indicated previously, Mr. Chairman, the increase being requested over the 1990 operating level consists mostly of mandatory personnel expenses needed to fund CBO at the authorized staff level. Of the $2,494,000 increase being requested, $1,809,000, or 73 percent, is increased personnel costs. Of the remainder, $202,000 is for ADP purposes and $289,000 for systems, data, and model development. Increases in prices and workload in a wide array of other administrative areas account for the remaining $194,000 being requested.

Personnel Costs

Escalating personnel costs are the driving force behind most of CBO's requested increase. The steady rise in pay and benefit costs has driven the personnel component of CBO's budget up to 76 percent of the total 1991 request from 59 percent of CBO's total budget as recently as fiscal year 1985. Similarly, benefit costs in 1991 will reach nearly 25 percent of payroll, far above the pre-FERS rate of 12 percent. Increased funding for benefit costs puts pressure on other portions of CBO's budget.

An assumed merit pay increase of 3.6 percent accounts for an increase of $423,000 in our request. The budget request makes no allowance, however, for a 1991 cost-of-living increase, which could force CBO to absorb $400,000 or more in additional costs. Despite the use of conservative assumptions and eligibility criteria, the 1991 executive pay adjustments for senior CBO staff will still require an estimated $609,000. This represents one-third of our requested cost increase for personnel. Moreover, CBO's budget does not include any additional resources for overtime pay. Required by recent amendments to the Fair Labor Standards Act, overtime costs will also have to be absorbed. CBO will follow the guidelines of the House, when they become available, regarding overtime pay and executive salary adjustments.

ADP Costs

ADP costs increase 7 percent in the current request, or by $202,000. These funds will support needed changes and updates to critical mainframe applications as well as replace aging microcomputers. CBO is proud it has been able to reduce ADP costs over the years while increasing productivity. By using microcomputers, and aided by HIS price reductions, CBO has significantly reduced the relatively expensive timesharing component of total ADP costs. ADP is 14 percent of our 1991 request, as compared with 29 percent of our 1983 budget. Actual ADP costs in fiscal year 1989 were the lowest in 10 years. Fully funded, the requested ADP level for 1991 is still 26 percent below the 1983 level.

Systems, Data, and Model Development Costs

The systems, data, and model development component of our budget is used primarily to purchase and modify data needed to update existing models. Spending in this area can vary widely, depending, as it does, on such things as the availability of data and the length of time since the previous update. Budget constraints in fiscal year 1990, including sequestration, require CBO to cut spending here nearly in half from 1989, which was already 29 percent lower than fiscal year 1988. The $289,000 increase requested for 1991 returns spending in this category to more historical levels and would allow us to acquire critical data updates for the Budget Analysis and Human Resources divisions.

Other Costs

Administrative expenses in our 1991 request, at $1,790,000, are only $90,000 more than similar expenses in fiscal year 1988, unadjusted for inflation. The bulk of the requested increase of $194,000 over 1990 is attributable to increased printing and mailing costs of additional CBO reports. Other price increases for postage, travel, supplies, and miscellaneous services account for the remainder of the requested increase. Even so, administrative expenses as a percent of CBO's total budget declines slightly in our request from our 1990 appropriated level.

CONCLUSION

Mr. Chairman, as I stated at the opening of this justification, I believe this to be a most prudent budget for CBO. Our budget request is driven primarily by mounting personnel costs and the need to staff to our authorized ceiling. It is, I believe, a budget that will allow CBO to continue to serve the Congress at the level of excellence it has come to expect. Thank you, Mr. Chairman.

APPENDIX A

CBO PANEL OF ECONOMIC ADVISERS

Barry P. Bosworth
Senior Fellow
The Brookings Institution

Andrew Brimmer
President
Brimmer & Co., Inc.

Robert Dederick
Executive Vice President
and Chief Economist
Northern Trust Company

Martin Feldstein
President
National Bureau
of Economic Research

Edward M. Gramlich
University of Michigan
Institute of Public Policy Studies

Lawrence R. Klein
Benjamin Franklin
Professor of Economics
University of Pennsylvania
Department of Economics

John Makin
Director, Fiscal Policy Studies
American Enterprise Institute for
Policy Research

Paul W. McCracken
Edmund Ezra Day
Distinguished Professor of
Business Administration

Rudolph Oswald
Director, Research Department
AFL-CIO

Rudolph G. Penner
Senior Fellow
The Urban Institute

George Perry
Senior Fellow
The Brookings Institution

William Poole
Professor of Economics
Department of Economics
Brown University

Alice M. Rivlin
Senior Fellow
The Brookings Institution

Jeffrey Sachs
Professor of Economics
Department of Economics
Harvard University

Paul Samuelson
Institute Professor
Department of Economics
Massachusetts Institute
of Technology

Charles Schultze
Director, Economic Studies
The Brookings Institution

Herbert Stein
Senior Fellow
American Enterprise Institute
for Public Policy Research

Lawrence Summers
Harvard University
Department of Economics

James Tobin
Sterling Professor of Economics
Department of Economics
Yale University

Murray Weidenbaum
Director, Center for the Study
of American Business
Washington University

APPENDIX B. SUMMARY OF COMPLETED CBO REPORTS BY REQUESTER (October 1, 1988 to September 30, 1989)

Requester	Number of Reports
House Agriculture	1
House Armed Services Committee	3
House Banking, Finance and Urban Affairs	1
House Budget Committee[a]	2
House Ways and Means Committee	1
Senate Appropriations Committee	2
Senate Budget Committee[a]	5
Senate Environment and Public Works Committee	1
Senate Finance Committee	1
Senate Governmental Affairs Committee	1
Senate Labor and Human Resources	1
Mandated by the Congressional Budget Act of 1974	7
Mandated by the Balanced Budget Act of 1985	4
Total	30

a. Dual requesters.

INTRODUCTION OF ASSOCIATES

Dr. **REISCHAUER.** Accompanying me today is Bob Hartman, the Acting Deputy Director; Wes Jenkins, who is the Chief of the Data Base Administrative Unit at CBO; David Delquadro, who is the Personnel Officer at CBO; Dan Zimmerman, whose title is Chief of the Systems Development and Research Unit; Polly Hodges, who is our Budget Officer; Mark Desautels, who is an assistant in the Intergovernmental Relations Unit; Stanley L. Greigg, who is Director of Intergovernmental Relations; and Alfred Fitt, our General Counsel.

CBO'S ANALYSIS OF THE PRESIDENT'S BUDGET

As you requested, I will summarize my prepared statement. Before doing this, however, I would like to share with you just a few highlights of this year's edition of our analysis of the President's budget, which is a volume we do each year at the request of the chairman of the Committee on Appropriations. Then I would like to say just a few words about some of the extraordinary demands that were placed on CBO last year.

In our analysis of the President's budget that we released earlier this week, CBO estimated that the 1991 budget deficit under the administration's policies would be $131 billion, which is some $69 billion more than the administration's own estimates of the deficit. Of the $69 billion difference between the CBO estimate and President Bush's estimates, $26 billion stem from differences in economic assumptions. The administration is more optimistic with respect to real growth and real interest rates than CBO is. The remaining $44 billion difference between CBO and the administration is attributable to technical factors. And of that $44 billion, $29 billion represents RTC working capital and other deposit insurance requirements, the bulk of which was deliberately excluded from the President's budget estimates because he was unsure of how these would be treated under the Balanced Budget Act.

More than $9 billion in the technical differences in 1991 result from CBO's lower estimate of the effects of various administration proposals such as its capital gains proposals and its Internal Revenue Service management initiative.

Under CBO's reestimates, the administration's budget would reduce the deficit significantly, by some $31 billion in 1991 and by $99 billion by 1995. Real defense budget authority should decline under the President's budget by about 2 percent a year. That decline would lead to outlay savings of $3 billion in 1991, growing to $35 billion by 1995.

In the aggregate, nondefense discretionary spending is cut only slightly, because the decreases in some programs—such as the Farmers Home and REA direct loan programs—are offset by substantial increases in other areas such as science- and space-related activities, which get big boosts under the President's budget. The largest amount of deficit reduction, some $13 billion in 1991, is to be achieved from entitlements and other mandatory spending.

On the revenue side, the administration proposal would raise receipts by $9 billion in 1991, but only $2 billion a year on average after that because some of the administration's proposals have a temporary revenue gain.

CBO WORKLOAD

Let me now turn and just touch on three of the extra demands that were placed on CBO during——

Senator REID. You are much more comfortable talking about this stuff, aren't you? Looking at somebody else's budget?

Dr. REISCHAUER. Right. Let me just touch on three of the extraordinary demands that were placed on CBO during the last fiscal year. The first of these was, of course, that CBO provided analytic support to the Bipartisan Committee of Congressional Leaders in their negotiations with the executive branch for the summit agreement. CBO produced cost estimates and projections of the budgetary effects of the various spending and revenue proposals throughout the summit negotiations, and the CBO numbers were used to fashion the final agreement.

Second, the legislation on the savings and loan bailout also placed a great deal of extra work on CBO. We provided the Congress with extensive cost and policy analyses of this exceedingly complex issue, and I think our analyses had an important impact on the final outcome of that debate.

The third area was the repeal of the Catastrophic Health Insurance Coverage Act. We analyzed and costed out literally hundreds of options for Members and for committees. In addition, we went through and did a complete reanalysis of the prescription drug component of that bill, as well as many reestimates of the benefits for skilled nursing facility care, whose costs escalated through the year.

CBO REQUEST FOR FISCAL YEAR 1991

Now, let me turn to our own request for fiscal year 1991. CBO is requesting $21,723,000, which represents an increase of 13 percent over our estimated fiscal year 1990 operating level of $19,229,000. The increase is not attributable to any new discretionary spending. CBO is not requesting any additional staff positions, but the request does provide the agency with the resources that we would need to staff up to our authorized level of 226 positions.

Of CBO's requested increase, $1,809,000 or 73 percent, is for personnel-related expenses. Our current appropriation supports 218 positions, and as congressional demands for CBO work continue to grow, we believe it is important to fund our authorized ceiling of 226 positions.

Our request also includes an additional $202,000 for automated data processing [ADP], and an additional $289,000 for systems, data, and model development work in fiscal year 1991. Our 1991 budget request for ADP is still 5 percent below our actual spending in fiscal year 1988, and more than 32 percent less in nominal terms than what CBO spent in this area in 1984. The increase for systems, data, and model development, while appearing significant, does no more than restore spending in this critical area to more appropriate levels after 1 year in which spending was constrained as a result of the sequestration. Spending for systems, data, and model development is still only 1.8 percent of our total budget. The remainder of our requested increase, $194,000, is spread across a broad array of areas, including printing, supplies, training, and travel, and is the result of both price increases and workload.

Let me conclude with what I stated at the beginning of this justification, which is that I believe that this submission is a prudent budget for CBO. Our budget request is driven primarily by mounting personnel costs, and it is, I believe, the minimum that is necessary to allow us to continue to serve the Congress at the level of excellence that you have come to expect from us.

Thank you.

ROLE OF CBO

Senator REID. I have served in Congress about one-half the time that the Congressional Budget Office has been in effect. Give me a little historical perspective. What went on before?

Dr. REISCHAUER. Before CBO?

Senator REID. Yes.

Dr. REISCHAUER. Before CBO, there was no coherent approach to budgetary matters. Budgetary decisions were fragmented among all of the committees. The Congress never sat down, as it does now in the budget resolution debates and as it does as it tries to meet deficit targets, to ask how much should overall spending be, how much should our total revenues be, what——

Senator REID. In the past we just——

Dr. REISCHAUER. It was done piecemeal. The various appropriation bills went through, as did the various direct spending legislation. Almost disconnected from those activities, however, was the whole process of generating revenues. So it is a very different world now than it was before. But we are also a Government that wants to rein in our own growth and make more careful decisions about allocating resources among the various competing demands.

Senator REID. Do you have any problem with the Congressional Budget Office being just that, being a budget office of the House and the Senate? Do you have any problems working with both bodies?

Dr. REISCHAUER. No; not at all.

Senator REID. Do you understand what I am saying?

Dr. REISCHAUER. Yes; I do. I was at CBO when it was first started and then, of course, went away and then came back, and so have watched the entire agency over the 15-year period. Given that perspective, to me one of the amazing things is the way the Congress has not just permitted but encouraged an agency within its own midst to operate as an objective teller of very difficult news at times. It has encouraged us to come forth with the facts as we see them and not imposed political pressures.

The Senate's approach to budgeting is often a little different from the House's approach. Yet, there has been a lot of respect on both sides, and so I have no problem at all in working with both bodies.

Senator REID. Do you feel the independence of the office has been maintained?

Dr. REISCHAUER. Yes; I do.

COORDINATION WITH OTHER AGENCIES

Senator **Reid**. There are many areas where CBO is currently working—nuclear energy, savings and loan crisis, drug abuse, taxation, just to name a few. And in these same areas we have OTA, GAO, and CRS also doing work.

What can we do to avoid duplication of effort?

Dr. **Reischauer**. This has been a reoccurring concern of the Appropriations Committee, and we have over the years developed mechanisms to ensure that duplication does not take place. We have a procedure for notifying each other when we get requests for new projects. We make sure the same thing is not going on somewhere else. We have a small group that gets together every 2 months to discuss this issue.

Senator **Reid**. Representatives from each agency?

Dr. **Reischauer**. Yes; the group has representatives from each agency. Once a year, the directors get together. At the beginning of each session, we sit down and discuss what the big issues are that will be coming up and who should be the lead agency on each of those issues. As a result, when requests come in that are not appropriate for our agency, we know which agency should be taking the lead.

Most of CBO's work, of course, has a budgetary and an economic focus, and so we have a special mission. OTA has a technological focus. So while we might all be working on the same topic, say global warming, CBO is looking at the impact on the economy and on the budget, while OTA might be looking at what can be done technologically to reduce global warming. Therefore, we often take quite different approaches to the same issue.

Senator **Reid**. I understand. Last year in response to a question which was asked, quote, "Have you considered any type of pooling arrangement with other agencies for ADP services and data bases?" You indicated that the House information system was the only time share pooling arrangement in which CBO was engaged.

Have you explored the possibility of time share pooling with the Library, OTA, or GAO, other legislative branch agencies?

Dr. **Reischauer**. Of our total time sharing budget, 82 percent goes to the HIS, leaving 18 percent. Of that 18 percent, 45 percent is for the Control Data Corp. That represents our share of the costs of maintaining the comparative statement on the budget authority data system, which we jointly engage in with the Senate Appropriations Committee and the House Appropriations Committee. So it is a very specialized arrangement.

Of the remainder, 45 percent is for DRI and WEFA, which are two macroeconomic consulting firms, and that is part of a joint agreement with the Library of Congress and the other Hill agencies. So I think we are really doing a very good job in that respect.

REQUESTED INCREASE

Senator **Reid**. I have been waiting to ask this question for several days. You are requesting an increase over the current level of funding of about 13 percent. I note that your revised CBO baseline for CBO is $20,568,000. Your request is $1,155,000 over your revised baseline.

Would you explain why you need this increase over the baseline that has been adjusted for inflation?

Dr. REISCHAUER. The first and largest of the components of the increase would result from bringing our staff from 218 people up to the 226 that we are authorized to have. So that is the major contributor. Another component of the increase is associated with the ethics reform legislation that raised pay, and so that component is over and above the baseline. The third major contributor to the increase would be our effort to raise the ADP amount. As I explained to you earlier, we have been skimping in that area. We really need to update our data bases and revise our models. Because of sequestration and the budget pressure we have been under, we have been doing as little of that as possible.

Senator REID. I see. I note that there are significant differences in the way in which you calculate price changes, price level changes for different object classes. Moreover, your estimates also differ from those made by other legislative agencies. For example, you estimate the inflationary change for travel at 10 percent, GAO on the other hand estimated 9 percent, OTA 5 percent.

How do you explain this difference?

Dr. REISCHAUER. I certainly cannot speak for how the other agencies did their calculations. We try and ascertain what the increase would be for the type of travel we are engaged in, which is largely air travel, and then provide you with our best estimate on it. I would not think the 9 percent versus the 10 percent would be very significant. In an agency like GAO—and I am now just hypothesizing—a lot higher fraction of its travel budget might be land-based travel—trips by car and so forth. As an agency, we do very little traveling, as you know, and some portion of our travel budget is simply to bring in our panel of economic advisers twice a year for meetings.

CBO STAFFING

Senator REID. You are requesting $503,000 to fill all of your 226 authorized positions. What is your current on-board strength?

Dr. REISCHAUER. Two hundred and eighteen people.

Senator REID. And what is your historical rate of vacancies?

Dr. REISCHAUER. The vacancies back in 1985 and the beginning of 1986 averaged about seven. Then for a 3-year period, they averaged about 10. During two of the years in this period, there was no director of CBO. There was only an acting director. Moreover, for one-half of the preceding year, it was clear that Rudy Penner, the director who preceded me, was going to leave. In those years, I think there was a lot of uncertainty and maybe some reluctance on the part of senior people to come to CBO if they did not know who the head of the agency was going to be. Since I came, the vacancies have dropped down to eight. Thus, the vacancies were 7, 10 for 3 years, and then down to 8.

Senator REID. Still small numbers.

Dr. REISCHAUER. But I should point out that the reason it is eight is because, quite frankly, I have slowed down hiring at this point. We could have zero vacancies today, but we do not have the budget to fill those vacancies. I have told the assistant directors who come to me with requests to hire this individual or that individual that we do not have the money at this time, and, therefore, we have to pace our filling of these vacancies. But now that there is a director at CBO and that the Congress is in a particularly active stage with budget issues at the forefront of everything, we would have no problem at all filling these vacancies if we had the resources.

Senator REID. The only person I have ever known to write worse than Jerry Bonham is one of my sons.

Dr. REISCHAUER. You have never gotten a handwritten message from me. These people with me can attest to my terrible handwriting.

Senator REID. I defy anybody to read that. [Laughter.]

Dr. REISCHAUER. Jerry and I should communicate with each other. Then, no one would know what was happening.

Senator REID. Isn't there any turnover at CBO?

Dr. REISCHAUER. Yes, there is; certainly. You know, any agency with 200 people has turnover, and I think on the professional staff level it averaged 13 percent last year.

Senator REID. I think the question we are asking is, from the vacancies you have indicated, you are talking about positions you don't fill? Because otherwise——

Dr. REISCHAUER. Right now, we have a staff of 218 people. There are 218 bodies. You can actually find them. Therefore, the number of vacancies is the difference between 226, our ceiling, and those 218 staff members.

Senator REID. That is a small number.

Dr. REISCHAUER. It is.

Senator REID. But that was our point, that even with the turnover that is all the vacancies that you have.

You stated that the increased use of computers by professionals in the Congressional Budget Office has reduced the need for administrative support. What is the breakout between professional and support positions currently?

Dr. REISCHAUER. At the moment, we have 39 support staff positions and 187 professionals, and that represents a ratio of 4.8 professionals per support person. If one went back to 1977, the ratio would be 3.6 professionals for each support staff member. In other words, we have reduced the ratio rather substantially, which is largely attributable to office automation.

When I was at CBO before, one of the positions I held was as the assistant director for one of the divisions. That division still has the same number of individuals in it. The difference is that when I was there is had five secretarial people, whereas now it has three.

Senator REID. And this ratio you expect to remain the same the next few years?

Dr. REISCHAUER. We are always looking for ways to readjust the staff to be as effective as we can. But my guess is that the ratio won't change very much, because we are highly automated now in terms of word processing and operations of that sort. We also have another factor to consider. That is, under the new law, we will be subject to paying overtime, and it might be more efficient to keep more support staff on board to reduce overtime expenditures. We will be looking at that issue very carefully in the months to come and trying to gauge what implications it has for our own staffing patterns.

ADDITIONAL COMMITTEE QUESTIONS

Senator **Reid**. I appreciate very much your time here today. We have some more questions we will submit to you in writing.

Dr. **Reischauer**. Fine. Thank you.

[The following questions were not asked at the hearing, but were submitted to the Office for response subsequent to the hearing:]

ADDITIONAL COMMITTEE QUESTIONS

QUESTION: In your justification you stated that ADP Timesharing has been reduced $600,000 for FY 1990 in order to absorb "the sequester, drug cut, and 1/1/90 COLA." Please break this reduction out for each affected division. How does the $110,000 in offsetting lease costs relate to this reduction?

ANSWER: Fiscal year 1990 ADP Timesharing was reduced by $604,000. The divisional breakout of this reduction follows:

DIVISION	AMOUNT
Budget Analysis	$345,000
Fiscal Analysis	39,000
Tax Analysis	6,000
Program Divisions	283,000
Central Support	-69,000

The decision to retain the IBM 9370 was made, in part, because of the need to reduce timesharing expenditures to absorb the sequestration, drug cut, and the January 1990 COLA. This involved moving selected production and program development activities from the timesharing mainframe computer to the IBM 9370. Thus, the $604,000 timesharing reduction is offset by the increase in leasing costs ($110,000) that result from retaining this mid-level computer.

QUESTION: What will be the impact at the division level of this reduction on CBO('s) ability to complete its work?

ANSWER: Timesharing costs are related to Congressional demands placed on CBO for its services. The fiscal year 1990 budget request assumed a normal to heavy workload and full staff funding. By using the IBM 9370, as originally planned and not filling eight positions, we hoped that this reduction could be absorbed, although we were aware of the difficulty in predicting actual timesharing costs without knowing exactly what the workload would be. Costs are being closely monitored on a weekly basis and conservation strategies continue to be carried out to minimize any impact that may occur.

QUESTION: You have stated that ADP costs currently are lower than in the past. Please provide a chart containing historical data relating to ADP spending over the last 10 years.

ANSWER: The following table shows ADP spending since 1980.

CONGRESSIONAL BUDGET OFFICE
ADP COSTS IN DOLLARS AND BY FISCAL YEAR, 1980-1991

Fiscal Year	ADP Costs
1980	3,383,000
1981	3,445,000
1982	3,959,000
1983	4,215,000
1984	4,573,000
1985	4,484,000
1986	3,802,000
1987	3,983,000
1988	3,272,000
1989	2,806,000
1990 Estimate	2,916,000
1991 Request	3,118,000

NOTE: Total ADP costs include timesharing, computer hardware and software, and IBM 9370 leasing and maintenance costs.

QUESTION (Continued): Also, please update the chart which appeared on page 147 of last year's hearing record.

Systems, Data, and Model Development
Major Data Purchases, Fiscal Years 1986-1989

Description	Contractor	Cost (Dollars)
	Fiscal Year 1989	
Development of a model, including acquisition of data, that estimates the implicit value of government guarantees of financial instruments	Gatti-Spahr	40,000
Development of a PC model--including data--from the Federal Emergency Management Agency (FEMA) mainframe global warming model	FEMA	15,000
1987 Annual Hospital Survey data	American Hospital Association	6,000
	Fiscal Year 1988	
Statistically matched data bases of Statistics of Income (SOI), Current Population Survey (CPS), and Consumer Expenditure Survey (CES) data for 1985	ICF, Incorporated	12,500
1986 Expanded Annual Survey	American Hospital Association	6,000
Updates to the Defense Resource Model	T. Vassar	6,600
	Fiscal Year 1987	
Statistically matched data bases of Statistics of Income (SOI), Current Population Survey (CPS), and Consumer Expenditure Survey (CES) data for 1977 and 1984	ICF, Incorporated	30,000

Systems, Data, and Model Development
Major Data Purchases, Fiscal Years 1986-1989

Description	Contractor	Cost (Dollars)
Updates to the Defense Resource Model	General Research Corporation	19,000
	Fiscal Year 1986	
Enhancements and updates to the Defense Resource Model	General Research Corporation	41,000
Pension and retirement data from the most recent census	Census Bureau	25,000

QUESTION: Please explain the circumstances leading to the $110,000 in offsetting lease costs due to the retention of the 9370 mid-range computer.

ANSWER: The fiscal year 1990 budget request did not provide funds beyond a test of the feasibility of the IBM 9370. At that time, we did not know if we would retain this machine beyond the examination period. After a thorough and comprehensive evaluation, the Budget Analysis Division determined that retaining this machine was a cost-effective alternative to using the timesharing facility for certain divisional work. In view of the reduction in the timesharing budget, it was felt that this machine would offer a less costly substitute for data processing with which to meet workload demands.

QUESTION: You state that the Budget Analysis Division's "timesharing cost continue to be reduced through a concerted effort to improve the efficiency of existing systems, to transfer program development activity from timesharing to a mid-range computer, and to develop microcomputer applications to perform certain tasks done in a timesharing environment." Please provide more detail on the accomplishments made in this area. Have these reduced costs been factored into the requested increase in timesharing for 1991?

ANSWER: Improving the Efficiency of Existing Systems. Selected programs that have become slow and inefficient over time because of piecemeal modifications have been rewritten. Other programs have been rewritten to take advantage of new advancements in software. These revisions generally result in a program that requires fewer computer resources to accomplish the same task and is therefore more efficient and less expensive to operate.

ANSWER: Transferring Program Development Activity from Timesharing to a Midrange Computer. The Budget Analysis Division uses the largest portion of the CBO timesharing budget. Much of this consumption involves the use of a Data Base Management System product named Adabas. The majority of CBO's Adabas software development, which includes creating new programs and modifying old programs, has been performed on the IBM 9370 rather than on the House Information Systems (HIS) mainframe computer. Use of the 9370 thus eliminated many of the timesharing charges formerly associated with this type of data processing activity. (The IBM 9370 is a departmental computer and was leased from IBM by HIS, on CBO's behalf.)

Recently, HIS offered to substitute a "virtual machine" on their newly upgraded mainframe computer for all work currently performed on the 9370. Under this proposal, the 9370 lease would be canceled and costs would be limited to a fixed HIS monthly charge plus customary printing and secondary storage fees. On February 21, 1990, CBO decided to accept this offer. Both agencies amended their Memorandum of Understanding accordingly. This arrangement provides the logical equivalent of the IBM 9370, coupled with larger timesharing cost savings, while offering continued software compatibility no longer possible with the 9370.

ANSWER: Using Microcomputers to Perform Tasks Usually Done on a Timesharing System. Small nondata intensive models are good candidates to move from timesharing main-frame computers to microcomputers. For example, several years ago the manufacturer of SAS, a statistical-based programming language, offered a microcomputer version of this mainframe software package. Moving several of these SAS models from the mainframe to the micro-computer recovered the acquisition costs within the first year and re-sulted in timesharing savings.

Another benefit was the ability to perform repeated minor processing tasks that might not have been done on the more costly timesharing system. The microcomputer, while a valuable tool, cannot be used in all situations. This is especially true when large amounts of data must be sequentially processed. Therefore, there is a limit to what models may be moved from timesharing to microcomputers.

Most candidates for microcomputers have already been identified and moved. Consequently, this opportunity has been substantially exploited and will not result in major new cost savings.

ANSWER: Factoring These Reduced Costs into the Requested Increase in Timesharing for 1991? All reduced costs, attributed to the above mentioned efforts, have been factored into the requested increase in timesharing for 1991.

QUESTION: Please detail the requested increase in ADP timesharing (commercial and interagency) and how this funding will be used to support divisional work.

ANSWER: A detailed breakdown of the increase follows:

DIVISION	1990 ESTIMATE	1991 REQUEST	DIFFERENCE
Budget Analysis	1,316,400	1,321,000	4,600
Fiscal Analysis	108,600	139,500	30,900
Tax Analysis	160,700	211,000	50,300
Program Divisions	546,800	620,000	73,200
Central Support	194,500	194,300	-200
TOTAL	2,327,000	2,485,800	158,800

The 1991 request for Budget Analysis does not provide for an increase in timesharing resources but allows for price increases in commercial timesharing. The increase for the Fiscal Analysis and Tax Analysis Divisions restores computer resources for work postponed as a result of a lack of funding in fiscal year 1990. The increase for the program divisions would provide timesharing support for a fully authorized staff level.

QUESTION: Can you tell us your major goals, major milestones, and where you are currently?

ANSWER: CBO's overall ADP goal is to improve the agency's capability to process information and to increase its ease of use, while reducing expenditures for total data processing. This has been accomplished, so far, via the use of "state of the art technology" involving a strategy that relies on microcomputers and Data Base Management System software.

To this end, CBO plans to carry out an agencywide network, over a several year period, that will offer information throughout the organization, using a microcomputer-based local area network (LAN). This LAN approach will improve the exchange of data. In other words, it is CBO's goal to offer its employees access to information and analytic tools without regard to where the programs are located or how they are structured.

QUESTION: You have projected that CBO will produce 10 more reports in 1991 than you produced in 1990. How was this estimate made? What is the likelihood that the estimate of reports to be produced in 1990 is high (as was the case in 1989)?

ANSWER: CBO's 1991 projection of published reports reflects our knowledge of the number of requests we are likely to receive next year, added to the number of reports already in the publications pipeline for completion in fiscal year 1991. Our projection also includes the reports required of us by The Budget Act of 1974 and the Balanced Budget Act of 1985. With less than half of the fiscal year completed, CBO already has published 15 reports in 1990, more than in all of fiscal year 1989, and will easily surpass its estimate. The pace of publications had been held up somewhat in fiscal years 1988 and 1989 because of the lack of a permanent director, but it is now returning to its historical rate. There is, of course, a direct correlation between the amount of legislative activity in the Congress and the number of CBO reports, and changes in the historical level of legislative action could alter our estimates significantly.

QUESTION: The projected cost of these additional reports is $181,000. This equates to $18,000 a report. Is this a sound estimate for the printing of a CBO report?

ANSWER: The $181,000 increase for additional CBO reports includes $129,000 in additional GPO costs and $52,000 in additional mailing costs. The fiscal year 1989 average cost to print a CBO report was more than $11,000. Using GPO's inflator of 7 percent a year, CBO's printing cost per publication will be around $13,000 in fiscal year 1991, roughly equivalent to the $12,900 CBO has projected for the 10 additional reports. The additional mailing cost reflects the projected 20 percent increase in postal rates scheduled for 1991.

QUESTION: How much of CBO's increasing workload is mandated in Congressional legislation?

ANSWER: While it is not possible to predict what tasks might be assigned to CBO by future legislation, legislative language in the Budget Act of 1974 mandates CBO to prepare federal, state, and local bill cost estimates. This mandated workload has increased at a steady rate over the years and constitutes the bulk of our annual increase in workload. Typically, however, CBO is also assigned work by new budget process legislation and by one or two other pieces of legislation each year, especially by omnibus reconciliation bills.

QUESTION: Is it realistic for CBO to expect to complete an additional 100 mandated projects in FY 1990 after being forced to significantly reduce its ADP timesharing?

ANSWER: As this increase in workload comes in the critical area of bill cost estimates, this Committee can be assured that resources will be available on a priority basis to accomplish this essential service to the Congress.

QUESTION: Please explain your requested increase for full staff funding. What are the components that comprise the $503,000 increase? How many new employees do you expect to hire if this funding is approved?

ANSWER: The 1991 budget request would provide funding for our authorized staff ceiling of 226 permanent positions, 8 more than the 218 we are currently able to fund. Resources would also be available to hire 10 semester interns with assignments not to exceed 8 months, and 25 summer interns with assignments limited to 10 weeks. Compared with the estimated level of interns for fiscal year 1990, this represents a potential increase of 11 interns.

It would require, as indicated in the following table, nearly $418,000 to fill the 8 permanent positions currently vacant. This represents 83 percent of the total increase of $503,000.

Allocation of the $503,000 Portion of the Fiscal Year 1991 Request (In thousands of dollars)

	Pay	Benefits	Total
8 Permanent Positions	334	84	418
11 Additional Interns	79	4	83
Economic Advisors	2	--	2
Total	415	88	503

QUESTION: You have estimated, relative to 1989, an increase in the number of summer interns for 1990, but you have estimated no increase for the 3 semester intern positions. These 8-month positions, it would seem, would make a more important impact on CBO's productivity; yet, 7 positions remain vacant in 1990. Please explain. Is it realistic to project 10 semester interns for 1991?

ANSWER: The CBO summer internship program is highly competitive and has been very successful in attracting highly qualified individuals from colleges and universities located in diverse geographic regions. The semester internship program requires the successful candidate to make longer-term living arrangements in the D.C. area, and to juggle future education requirements around a relatively short period of CBO employment.

For this reason, we have cut back on the semester internship program in order to fund a higher number of permanent positions with which we can then employ much needed research assistants, generally for a two-year period. Nevertheless, assuming CBO was at a full-staffing level, it is not unrealistic to project 10 semester interns for 1991.

QUESTION: At what level are the interns compensated?

ANSWER: Salary levels for CBO interns are determined mainly by level of education. The rates are as follows:

1990 Salary Rates for CBO Interns

Undergraduate Student	$15,112 per annum
Undergraduate Degree	$16,754 per annum
Graduate Student	$18,726 per annum
Graduate Degree	$21,025 per annum
Doctorate	$25,133 per annum

QUESTION: Please list the colleges and universities from which CBO attracted interns during 1989.

ANSWER: During fiscal year 1989, 30 interns worked at CBO from the following 24 colleges and universities.

Statistics on 1989 Summer and Semester Interns

Schools Represented (24)	Number of Interns	
	Summer	Semester
East (16 Schools)		
American University (D.C.)		1
Boston College (MA)	1	
Bowdoin College (ME)	1	
City College of New York	1[a]	
Columbia University (New York)	1	
Dartmouth College (NH)		1[a]
Gettysburg College (PA)		1
George Washington University (D.C.)	1	
Harvard University (Massachusetts)	1	
Hobart & William Smith Colleges (NY)		2[a]
Massachusetts Institute of Technology	1	
Princeton University (NJ)	1	
Smith College (MA)	2[b]	
University of Maryland		1
West Point Military Academy (NY)	1[a]	
Yale University (CT)	3	
South (3 Schools)		
Duke University (NC)	1	1
University of Tennessee (Chattanooga)	1	
University of Texas-Austin	1	
Central States (4 Schools)		
Bowling Green State University (OH)	1	
University of Illinois	1[a]	
University of Michigan	1	
University of Minnesota	1	
West (1 School)		
U.S. Air Force Academy (CO)	1[a]	

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[a] Under arrangements made with the sponsoring institution, CBO did not compensate these interns.

[b] CBO provided compensation for only one of these interns.

QUESTION: When do you expect to fill the position of Deputy Director?

ANSWER: Mr. Chairman, I have interviewed a number of qualified candidates for the position of Deputy Director since being named Director of the Congressional Budget Office. One of the major concerns I have experienced in negotiating the filling of the position has been the current salary level as established by statute.

Some candidates for Deputy Director are currently being paid at higher salary levels in their university positions. The salary issue should not pose as difficult a concern in the future, since a substantial adjustment will be made in 1991 as a result of the recently passed ethics and reform package.

I should also point out however, that in closely monitoring the resources available to CBO, we have realized a savings of more than $100,000 in the time that I have been here by not filling the position.

While the workload is currently being handled by an Acting Deputy Director, I do intend to increase my efforts and name a permanent Deputy Director in the near future.

SUBCOMMITTEE RECESS

Senator REID. Thank you and your staff for being patient waiting through this. I don't mean wading, I meant waiting.

If there is nothing further, the subcommittee will stand in recess until the call of the Chair.

[Whereupon, at 12:05 p.m., Friday, March 9, the subcommittee was recessed, to reconvene subject to the call of the Chair.]

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LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 1991

FRIDAY, MARCH 23, 1990

U.S. SENATE,
SUBCOMMITTEE OF THE COMMITTEE ON APPROPRIATIONS,
Washington, DC.

The subcommittee met at 10:12 a.m., in room SD-116, Dirksen Senate Office Building, Hon. Harry Reid (chairman) presiding.

Present: Senators Reid and Nickles.

CAPITOL POLICE BOARD

STATEMENTS OF:

- **HON. HENRY K. GIUGNI, SENATE SERGEANT AT ARMS**
- **HON. GEORGE WHITE, ARCHITECT OF THE CAPITOL**
- **FRANK KERRIGAN, CHIEF, CAPITOL POLICE**
- **MILTON J. SOCOLAR, SPECIAL ASSISTANT TO THE COMPTROLLER GENERAL, GENERAL ACCOUNTING OFFICE**

ACCOMPANIED BY:

- **JERRY WALKER, DIRECTOR, LEGISLATIVE AND SPECIAL AUDITS, GENERAL ACCOUNTING OFFICE**
- **MATTHEW SOLOMON, ASSISTANT DIRECTOR, LEGISLATIVE BRANCH AUDIT SITE, GENERAL ACCOUNTING OFFICE**

OPENING REMARKS

Senator REID. The subcommittee will come to order.

Today the subcommittee will hear the proposed fiscal year 1991 budget and program for the Capitol Police and the Architect of the Capitol. Both are requesting substantial increases over the appropriations enacted for the current fiscal year. I doubt that the changes in Eastern Europe will have a significant impact on the domestic budget climate this year and perhaps for some time to come, so it is going to be hard enough to maintain current program levels, let alone fund enhancements, however meritorious.

We will also have to revisit the issue of the administrative organization of the Capitol Police. The current structure continues a degree of administrative and financial division between the House and Senate wings of the force. The House contingent is on the House payroll and the subject of the administrative direction and control of the relevant committees and officers of that body.

Similarly, the management of the Senate contingent reflects the preferences and procedures of the responsible officers and committees on this side of the Hill. Both are funded from appropriations to the respective Sergeants at Arms, notwithstanding the fact that the Capitol Police is now nominally a joint item.

Two years ago this committee sought to eliminate this and effect a complete consolidation of the Capitol Police under the aegis of the Capitol Police Board. That effort foundered in conference. At our request, the General Accounting Office has been investigating the origins and consequences of this bifurcated system. Mr. Socolar of the GAO is our leadoff witness and will present the results of this work to date.

Mr. Socolar, I welcome you. I would ask you to introduce your colleagues and give us a summary of your testimony. Your formal statement will be placed in the record in its entirety.

Senator Nickles, before we get to Mr. Socolar.

REMARKS OF SENATOR NICKLES

Senator NICKLES. Mr. Chairman, just in general, I am not sure I am going to be able to be here through the duration of the hearing. I hope that I can because I am interested not just in hearing Mr. Socolar, but also the representatives of the Capitol Police Force and also the Architect of the Capitol.

A couple of general comments before Mr. Socolar makes his statement. I joined you a year or so ago in these efforts—as a matter of fact, I remember bringing it up. Since joining this subcommittee, I was somewhat appalled to find that we had the separate retirement plans, the separate forces. I think this is a ridiculous situation and needs to be changed.

I have just started reviewing your report this morning so I haven't seen your synopsis, but I am hopeful—I would expect that you would call for merging the forces. It needs to be done. It needs to be consolidated. And a couple of other general comments I will make, just editorial comments in case I am not able to stay through the whole hearing. I think the Capitol Police is far too large. We are looking at about 1,300 officers on the Capitol Hill Police Force. That is more than Prince Georges County, which has 1,100 officers and 700,000 population. We have 277 acres, which is about one-half of 1 square mile. Prince Georges County has 754 square miles. Fairfax County has 932 sworn officers, 400 square miles, 745,000 population.

Again, I just think the Capitol Police Force is too large. I think it needs to be pared down. And when we are looking at this consolidation it might be a good time to do it. So I make that comment.

The budget request, if I remember, was about 13 percent for the Capitol Police, a $7 million increase, $7,352,000 increase from 1991. I don't think we can go that much. I know they have requests in for retirement changes and others, and part of the retirement changes, as I have read and understand, they are talking about 20 years to 25 years now. I think that is too early. A person can join the force when they are 20 years old and 20 years and out. You are 40 years old. I happen to be 41 and I think I am physically fit to be an officer, so maybe we should look at some changes. And we will have to have changes if we have a merging of the two branches.

But I hope that we keep some realism in the cost of it as well. Early outs and 20 years are very expensive provisions that we need to be looking at as well.

Then one final comment, in case I am not here, for Mr. White. Mr. White, your request I find at a 65-percent increase, $80 million over 1990, to go from $124 million to $205 million I don't think is acceptable. I think it is—I am going to say outlandish. I would be embarrassed if we took that to the floor of the Senate, so I will just make that general caveat. I think we are going to have to pare these requests substantially. And with that, I look forward to working with you and seeing if we can't come up with a responsible and salable proposal to our colleagues.

Mr. SOCOLAR. Good morning, Mr. Chairman, Senator Nickles. On my left is Jerry Walker, who is the director of our legislative work, and on my right is Matthew Solomon, assistant director for that work.

BACKGROUND

The work that we have done in reviewing the Capitol Police Force pretty much corroborates a great deal that has come to light with regard to the origins and the current structure of the force. I can briefly summarize my statement. The force has grown from a very modest force back in the early 19th century to now a force of some 1,300 personnel. As you know, the force ~~is bifurcated~~; members of the force are either on the House or the Senate payroll, and a great deal of the administration of pay, leave, grievances, and so forth are dependent on which payroll a particular member of the force is on.

There are some specific differences that have created problems in the past and very briefly, those relate to retirement benefits and policies. Members of the force who are on the House payroll are able to retire after 25 years of service regardless of age, whereas those on the Senate payroll are required to serve for 30 years and have attained the age of 55 years before they may retire.

Most law enforcement organizations in the Washington, DC, area do offer retirement with 20 or 25 years of service regardless of age. Concerns about retirement comparability have led to the recent introduction of some legislation, House bill 3142, which is designed to bring the Capitol Police retirement in line with other law enforcement retirement programs.

The difference in retirement programs has been perceived as a problem by the police force. The Chairman of the Capitol Police Board testified in January in support of the legislation bringing the retirement system for the force in line with other law enforcement organizations. One of the primary reasons that the police force feels that this change is necessary is with regard to police officers leaving for better pay and retirement benefits. But our review shows that it may well not be the case. Resignations from the force to join other organizations for better pay and retirement are at about the same level as prevails for law enforcement organizations generally.

And we have some statistics that will show that the retirements for better pay and retirement are not as prevalent as retirements for the purpose of—I shouldn't say retirements—leaving the force for better pay are not as prevalent as leaving the force for simply doing other kinds of police work than is available on the Capitol Police Force.

LEAVE POLICY

Leave policies do differ. On the Senate side, if one is required to take involuntary time off for disciplinary purposes, for example, there is not a status of leave without pay. On the House side that does result in leave without pay. On the Senate side there is a minimum pay that is continued to take care of the employee contributions for the various benefits that are available, whereas on the House side those benefits have to be covered out of the personal funds of the individual member.

According to the Capitol Police officials, these differing approaches affect the ability of the Capitol Police Force to administer disciplinary actions effectively, and we were advised that because of the unequal treatment, suspension as a means of discipline is not often applied.

CIVILIAN POSITIONS

The Senate is able to hire civilians to perform any number of administrative duties that are required to be performed by the force, whereas on the House side, civilians are not hired. Currently the Senate has 81 positions for civilian personnel, but the House has not authorized any.

The use of civilians is very common by police forces generally, and certainly would be a means for providing for administrative efficiencies that are not now available. And then there are grievance procedure differences where the personnel that are on the House side of the payroll are able to have grievances brought internally and then appealed externally to the House grievance procedure, and they may also grieve to the House procedure initially. Whereas, on the Senate side the only thing that is available is the internal grievance procedure.

These differences in treatment, as has been pretty well brought out to date, do create administrative problems on the police force. They have for some time, and for some time there has been an effort to unify and eliminate this bifurcation. The system as we see it has grown up over the years. It has grown up because of the different practices of the House and Senate, and as these practices grew, there didn't seem to be much concern afforded to how it was affecting the police force itself. I think, in more recent years there has been a growing sense of urgency about correcting this situation which could be corrected in a number of ways.

It would seem to me that the initial thing to do would be, even if legislative action were not taken, to ameliorate some of these differences by getting agreement between the House and Senate to deal with some of these things in the same manner. Or, one could go beyond that to a legislative change to establish a police force that would be a discrete and separate entity that would administer itself perhaps on something like the OTA model. And with that, I can stop and answer any questions that you may have.

USE OF CIVILIANS

Senator **Reid**. You have indicated that on the Senate side we are using civilian employees; they are not on the House side.

Mr. **Socolar**. That's correct.

Senator **Reid**. And you have indicated that using civilians can save as much as—of course, it would vary position to position—but as much as $20,000 per position, that would be the average. Is that the average?

Mr. **Socolar**. Yes; that would be in the initial year. Savings for subsequent years would decline somewhat, and that initial year saving is elevated because of the training requirements and special requirements that are applied to police officers coming on board that would not be applicable to civilians.

Senator **Reid**. The efficiency of the force isn't changed by going to civilian employees?

Mr. **Socolar**. The efficiency—not necessarily. I wouldn't want to make the statement that civilian employees necessarily could perform their functions better than the——

Senator **Reid**. No; you misunderstood the question. Civilian employees don't do any worse than the police officers?

Mr. **Socolar**. No, sir.

Senator **Reid**. That was the point I was trying to make. Why does the House not hire any civilian employees for those types of jobs?

Mr. **Socolar**. I think that is a matter of policy within the House.

Senator **Reid**. What policy?

Mr. **Socolar**. They have not done it in the past. I don't know that there is any written policy that suggests that they couldn't hire civilians. They just don't.

PROMOTIONS

Senator **Reid**. You didn't mention differences between the House and Senate with respect to promotions policy. It seems to me that this is an important area of personnel administration with an obvious impact on the morale of the respective forces.

Do you have any findings or observations to report in this area?

Mr. **Socolar**. Yes; there are differences; there are two. The Senate side of the Capitol Police Force has a freer hand in making promotions. The promotions on the House side are related to specific positions.

Senator **Reid**. That has to be done legislatively in the House; is that right?

Mr. **Socolar**. That has to be done through the Committee on House Administration.

Senator **Reid**. So before a promotion can take place on the House side one of the committees of jurisdiction must approve that?

Mr. **Socolar**. That's correct.

Senator **Reid**. Which is the more efficient system?

Mr. **Socolar**. It is difficult to say, because we don't have—on the force we don't really have a set body of administrative regulations that govern how the promotion process will occur. There are specific provisions that relate to the competitive aspect of promotions, but at any time, as I said, on the Senate side, a promotion may be made without necessarily going through that process.

Senator Reid. You mentioned that the Capitol Police Force has 1,300 people, approximately. You also mentioned that there are special duties that this police department has based on upon the type of work that is done up here. Even though it is a relatively small area, there is a lot of activity.

Have you made a finding as to the number of police officers, as to whether there are too many, not enough?

Mr. Socolar. We haven't really done enough of a study to come to any kind of definitive answer on that, although I think it would be fair to state that some reduction in the size of the force might be appropriate. I don't know that I could say that it would be anywhere near——

Senator Reid. Through civilianization or some other process?

Mr. Socolar. That's correct.

RETIREMENT

Senator Reid. The other thing in your statement I thought was interesting was that Capitol Police on the House payroll can retire with 5 years less service than those in the Senate.

Mr. Socolar. That's correct.

Senator Reid. Tell me how that came about?

Mr. Socolar. That comes about by virtue of, again, the difference in policy with regard to these retirements between the Senate and the House.

Senator Reid. So——

Mr. Socolar. That 25-year service retirement on the House side is with a reduced annuity for years under 30.

Senator Reid. You have indicated that the people leaving the Capitol Police Force are not leaving at any higher rate than, say, at Metro, at Fairfax, or wherever else. The attrition rate is about the same.

Mr. Socolar. That's correct.

Senator Reid. I do have a question though. Most law enforcement organizations in this area have retirement with 20 or 25 years regardless of age.

Mr. Socolar. That's correct.

Senator Reid. If the money could be found, do you think that would improve the morale, for lack of a better term, of the Capitol Police?

Mr. Socolar. Well, we have found within the past 3 years that there have been very few retirements under age 55.

Senator Reid. Is that in the area, or just in the Capitol Police?

Mr. Socolar. The Capitol Police. And I think that one of the most important aspects of that issue is to have some degree of comparability between the Capitol Police Force and other police forces in the area as a matter of facilitating good morale. And again, I would have to say that the most important thing in my mind is that at least the force, all of the members on the force, ought to be personnel operating under the same rules because some of the situations that prevail here are, I think, destructive of morale.

For example, if there is a promotion of someone on the Senate side of the payroll to a position that has been established by the House, even the times that he would get paid have to change, because the Senate pays once a month, I believe it is, and the House pays biweekly. And it seems to me that those kinds of differences don't make too much sense.

Senator REID. Talking about the use of civilians, the national average for civilians in law enforcement organizations is 25 percent, the Washington area is somewhat lower at 18 percent. I think you have indicated in your report that about 6 percent of the Capitol Police Force are civilians.

Mr. SOCOLAR. That's correct.

Senator REID. So we are significantly lower than the national average, and even significantly lower than that in the D.C. area?

Mr. SOCOLAR. That's correct.

Senator REID. And as we have indicated, there is significant cost savings in going to a more civilianized police force.

Mr. SOCOLAR. I think so; yes.

Senator REID. You don't think so. You said at least $20,000 per position, and then it drops.

Mr. SOCOLAR. There is; yes.

HOUSE AND SENATE CONTINGENTS RETIREMENT

Senator REID. How do you assess the overall importance of these differences between the House and Senate contingents with respect to retirement, leave, grievance procedures, and civilianization? You have identified four problem areas associated with the divisions in the organization and funding of the Capitol Police.

Do you feel these differences have a substantial impact on the operational efficiency or effectiveness of the Capitol Police?

Mr. SOCOLAR. I don't know that I would say that they have a difference on the operational efficiency, but it does seem to me that they would have a difference on the morale of the force and the way individual members of the force relate to each other. We have even further differences between the force and other staff members of the House and Senate with regard to leave provisions. The police, for example, cannot get lump sum leave payments for any accrued leave that they have when they leave the force. They can't, in case of injury on the Senate side, buy back leave in the way House force members can. And that relates to how the Department of Labor deals with the workmen's compensation laws.

So that all of these differences, it seems to me, add up to differences that just from the standpoint of looking at an organization and how it would function efficiently, seem all to be working against the smooth running operation. But I don't think that we have done enough work to suggest that there are specific things that we could point to as being caused by these differences.

Senator REID. Senator Nickles.

CIVILIANS IN POLICE FORCE

Senator NICKLES. Mr. Chairman, I will be very brief, because I want to hear some of our other witnesses today as well. But just looking at your figures, you said that most of the police forces that you reviewed had about what, 25 percent civilian? Is it 20 or 25 percent, something like that?

Mr. SOCOLAR. I think in the area it was about 18 percent, and about 25 percent nationally.

Senator NICKLES. If you took 25 percent of 1,300, that would be about 325. If you multiplied that times $20,000, you are talking about saving $6.5 million in the first year. Is that close to being right?

Mr. SOCOLAR. The first year.

Senator NICKLES. In the first year. That is mostly training expense?

Mr. SOCOLAR. Yes; a great deal of it is. Plus uniforms, that sort of thing, and salaries, also.

Senator NICKLES. Currently are we training people who have a function as a clerk or maybe a receptionist or a telephone operator or something, are we sending them through in many cases for the total police training?

Mr. SOCOLAR. I think members when they come on to the force do have that training and then may subsequently be assigned to those administrative duties that civilians could well perform.

Senator NICKLES. I think there is a significant area that we could look at there. I was a little disappointed that I didn't see concrete recommendations. I saw a recitation of the differences, which is helpful to us and maybe we will have to be involved in either legislative or other actions. Were the police forces created by legislation?

Mr. SOCOLAR. Yes; there is legislation.

Senator NICKLES. I don't know if it takes legislative action, or can the Capitol Police Board make these decisions without legislation?

Mr. SOCOLAR. No; I think that the Capitol Police Board first is governed by what the two committees in the House and Senate——

ONE RETIREMENT SYSTEM

Senator NICKLES. I understand, but we haven't passed legislation that provides for one retirement system for the House and one retirement system for the Senate, or a leave policy. That is not legislated?

Mr. SOCOLAR. No; neither is there legislation that sets up an administrative agency called the Capitol Police Force that would support hiring and leave policies and so forth.

Senator NICKLES. I understand. Well, I was hopeful—and maybe this is our fault, because I was the one that initiated this request and maybe we didn't ask for recommendations.

Mr. SOCOLAR. Well, we still have a report to file. We have not completed that report, and as we put that report together we may well, where warranted, make some suggestions.

Senator REID. You may surprise us if you are going to do that. You haven't made up your mind yet whether you are going to make recommendations? You are going to surprise us?

Mr. SOCOLAR. I don't think that you will be surprised.

Senator REID. My point is, are you going to make recommendations in the report? That is what Senator Nickles asked.

Senator NICKLES. Well, I am surprised—I was involved with calling for the report last year or the year before with you, and I am thinking that we asked for recommendations. If we didn't, that was an oversight on my part.

Mr. **Socolar**. Well, I think rather than recommendations as such what we will probably do is make some observations with regard to some options as to how this may be dealt with. Because in the final analysis we are dealing with an organization that is currently bifurcated between the House and the Senate. There are ways to deal with some of these problems that wouldn't necessarily entail structuring a whole new agency, and I think that what we will probably do will be to suggest ways of approaching it that will run from straightening out these differences that now exist in the current context to establishing an independent, discrete agency, and that would be up to the Congress.

Senator **Nickles**. Is it your thought that we should combine the forces?

Mr. **Socolar**. My thought right now is that at the very least these differences should be obliterated, and how the administrative structure is set up can be handled in different ways. If I had to suggest how I thought it might be done best, it would be to set up an administrative organization, a separate entity that would be the Capitol Police Force.

Senator **Nickles**. A Capitol Police Force, but not a separate House and Senate police force?

Mr. **Socolar**. Yes; under perhaps the guidance and governance of a police board made up of representatives from the House and Senate to which this police force would be responsible.

Senator **Nickles**. But you would have a unified payroll, a unified retirement, unified benefits, unified sick leave and various retirement options and so on, they would all be the same. And I think it only makes sense. You even have some cases where you have employees that will move from one side to the other, and that is really confusing and a difficult process for them and for the board. So I thank you for your statement.

PREPARED STATEMENT

Senator **Reid**. Thank you very much.

Mr. **Socolar**. It was a pleasure.

[The statement follows:]

Statement of Milton J. Socolar

Mr. Chairman and Members of the Subcommittee: I am pleased to present to you the preliminary results of our review of Capitol Police Force personnel administration. We made the review pursuant to the Senate's report on the fiscal year 1990 Legislative Branch Appropriation bill as concurred in by House conferees. As you know, personnel administration of the Force is split between the House and the Senate. There are four aspects of this split that I will be covering—retirement benefits and policies, leave policy, the hiring of civilians, and grievance procedures. But first, a bit of background.

BACKGROUND

The United States Capitol Police Force has grown from a single guard protecting the construction site of the new Capitol in 1801 to a modern law enforcement organization of over 1,300 men and women and an annual budget of over $60 million. The principal mission of the Force is to protect the Congress and its staff, buildings, and visitors and to regulate traffic within and around the Capitol grounds. Increased terrorist activity has led to the establishment of several specialized units, such as the canine unit and bomb squad, to enhance the emergency response capability of the Force.

Operations of the Capitol Police are overseen by the Capitol Police Board, which consists of the Senate and House Sergeants at Arms and the Architect of the Capitol. Chairmanship of the Board rotates annually between the two Sergeants at Arms. The Chief of Police reports directly to the Capitol Police Board but also receives direction from the individual Sergeants at Arms. Personnel and other expenses of the Force are authorized and financed through appropriations to both the House and the Senate.

From 1857 until 1909, the House and Senate each paid approximately half of the Capitol Police expenses. Then in 1910, when the first Senate office building was constructed, the Congress initiated a practice of earmarking funds for three distinct contingents of the Force—the Senate contingent, the House contingent, and the main, or Capitol contingent. Each House of Congress paid its own contingent and one-half of the expenses of the Capitol contingent. The earmarking of separate appropriations for three separate contingents of the Capitol Police continued until 1945 when the Congress reverted to the earlier practice of a consolidated force financed by separate House and Senate appropriations. As of January 1990, the House had 639 members of the Capitol Police Force on its payroll and the Senate had 669. For pay, benefits, and personnel actions, members of the Force are treated as House or Senate employees. However, this does not limit where they are assigned or the duties they perform.

RETIREMENT BENEFITS AND POLICIES

Capitol Police on the House payroll can retire with 5 years less service than those on the Senate payroll. Although few Capitol Police officers formerly on the House payroll have availed themselves of this option, the Capitol Police perceive the difference in retirement policies to be a problem. According to the head of the House Disbursing Office, Capitol Police on the House payroll can retire at a reduced annuity with only 25 years of service regardless of age. Counterparts on the Senate payroll must meet the requirements of 55 years of age and 30 years of service to receive benefits upon voluntary retirement.

Most law enforcement organizations in the Washington, D.C. area offer retirement with 20 or 25 years of service regardless of age. Concerns about retirement comparability have led to the recent introduction of legislation (H.R. 3142) designed to bring Capitol Police retirement in line with other law enforcement retirement programs.

The Chairman of the Capitol Police Board testified in January 1990, in support of this legislation at a hearing before the Subcommittee on Legislative, House Appropriations Committee. He supports the legislation on the ground that comparability would alleviate a perceived problem of younger officers leaving the Force and going to work for other law enforcement organizations. According to the Board Chairman, one of the primary reasons these officers leave is for better pay and retirement benefits.

Our review shows, however, that resignations from the Force to join other organizations for better pay and retirement are at about the same level as prevails for law enforcement organizations in the Washington, D.C. area generally. During 1988, the Capitol Police had an overall attrition rate of 6.3 percent which compared with an 8.4 percent rate for Washington area police departments. Between 5 and 15 percent is considered acceptable according to a text entitled Police Administration. We compared Capitol Police attrition statistics with similar data obtained from several area law enforcement departments and found that the Capitol Police Force does not have an unusual problem. Our comparison showed the following.

—Of the 77 officers who left the Force in 1989, 24 (31 percent) went to work for other law enforcement organizations. In comparison, during this same period, 25 percent of those who left the Secret Service Uniformed Division went to work for other law enforcement organizations. These statistics are representative of the six area law enforcement organizations we surveyed during our review.

—The desire to perform a different type of police work ranks at least as high on the list of reasons given for leaving as pay and retirement. We examined exit interviews for 22 of the 24 Capitol Police officers who left the Force in 1989. Our examination revealed that over half (55 percent) left because other law enforcement organizations offered different types of police work. Only 45 percent and 41 percent, respectively, cited retirement or pay as reasons for leaving.

LEAVE POLICY

The Senate and House differ in their handling of situations involving involuntary time off. During involuntary time off, an officer on the House payroll is placed on leave without any pay. On the Senate side, he or she receives a reduced pay of about $125 a month which is intended to cover the employee's share of the cost of basic benefits such as health insurance.

According to Capitol Police officials, these differing approaches affect the ability of the Capitol Police to administer disciplinary actions effectively. Because of the unequal treatment, suspension as a means of discipline is not often applied.

USE OF CIVILIANS

The use of civilians in law enforcement organizations to perform clerical, administrative and other support functions is common. The national average for civilians in law enforcement organizations is 25 percent, while the Washington area average is 18 percent. Currently, the Senate has authorized 81 positions for civilians, but the House has not authorized any. As a result, all 73 positions currently occupied by civilians, or about 6 percent of the Force, are funded by the Senate.

The use of civilians has been advocated by the Capitol Police Board since at least 1983. However, with the exception of the 81 positions authorized by the Senate, no additional civilian positions have been created. The Capitol Police Board's Force Reduction Task Force has estimated that 114 additional positions could be assigned to civilians. Based on our observations, we believe that this is probably a conservative estimate. Replacement of uniformed officers with civilians results in a cost savings. According to estimates of the Capitol Police, a savings of about $21,000 would be achieved in the first year each position is filled with a civilian. Additional savings would accrue in subsequent years.

GRIEVANCE PROCEDURES

The Force has an internal employee grievance process set up to handle allegations of discrimination or unfair employment practices. Officers on both payrolls have access to this process. However, officers on the House payroll have an additional employee grievance process available to them. They can file a complaint initially with the House Fair Employment Practices Review Panel or use the Review Panel to appeal decisions reached through the Force's internal process. Police on the Senate payroll do not have access to an additional grievance process beyond the internal process provided by the Force because the Senate has not established a fair labor practices review process for its employees.

OBSERVATIONS

The several differences we have identified in the treatment of Capitol Police employed by the House as compared with those employed by the Senate are significant. Apparently, these differences developed more as a result of how the Senate and House pay and personnel systems operate than through specific concerns related to administration of the Capitol Police Force. As the separate systems evolved, practices and procedures tended to diverge, and how these differences affected the Capitol Police was not considered. These differences have affected police operations and are impediments to the unification of the Force.

Little progress has been made in recent years toward unifying the Capitol Police into a more efficient organization. It seems to us that progress toward unification can be achieved by careful consideration and action on the differences which have been identified. However, the extent to which unification is ultimately to be realized is a matter for the Congress and the Capitol Police Board to determine. Upon completion of our review, we will issue a report discussing the various issues in greater detail and, where warranted, provide suggestions for addressing them.

Mr. Chairman, this concludes my remarks. I will be happy to answer any questions you or the other members of the Subcommittee may have.

STATEMENT OF HON. HENRY K. GIUGNI

Senator Reid. Our next witness will be the Sergeant at Arms of the Senate, Mr. Henry Giugni, who will present the Capitol Police Board request for fiscal year 1991.

BUDGET REQUEST

Their request for fiscal year 1991 totals $63.9 million. This represents an increase of $7.4 million over the amount available for the current fiscal year.

Mr. Giugni is accompanied by other members of the Board, Mr. George White, Architect of the Capitol, and the Chief of Police, Frank Kerrigan. Welcome to each of you. If you have prepared statements they will be entered into the record. We have, Mr. Giugni, your formal remarks, and would you please outline that for us so that Senator Nickles and I can proceed to questions.

Mr. GIUGNI. Mr. Chairman and members of the committee, I am here this morning on behalf of the Capitol Police Board. My fellow Board member, the Honorable Jack Russ, has asked me to represent him in submitting the fiscal year 1991 budget for the Capitol Police. The total request is $63.8 million, a 13-percent increase over last year; $2 million is for general expenses, a 10-percent increase, for higher costs of training, transportation, protective details, and maintenance. No new programs are sought; $61.8 million is for personnel, a 13-percent increase. This includes $1.4 million for employee benefits and $1.6 million for mandatory pay increases such as COLA, longevity, and rank adjustments.

An additional $1.7 million is requested to compress the pay scale from 26 to 14 years. To clarify a provision in last year's bill, restoration of two uniformed positions and a civilian fitness director is also requested.

PAYROLL CONSOLIDATION

At this committee's direction, the police have worked with GAO on the study of the payroll system. As you know, one-half of the police personnel are on the Senate payroll, one-half are on the House. There are differences in the system which GAO has done an excellent job of documenting. We have been concerned about the problem for some time. In fact, you probably remember our budget 2 years ago included a proposal for payroll consolidation.

It also had recommendations for greater use of civilians and improvements to leave, retirement, and discipline. I am still committed to the substance of that proposal, but nothing has been done so far. The major reason goes to a fundamental difference between how the House and Senate have chosen to structure their payroll systems. In the House every position is statutory. Any change in the number of bodies or pay has to go through the full committee process. The Senate abolished statutory positions 9 years ago.

I believe the concept originated in this committee. Since then, Senate officials, like in every other Federal agency, are given a lump sum budget for personnel and are held accountable based on production and program needs. The police have to work with the quirks of both systems. For example, all 81 civilians are on the Senate payroll because the House never established civilian positions. The Senate's lump sum authority gives the Chief the flexibility to decide on the number of positions at the pay levels needed to get the job done. The result is a civilian program that is so successful and cost effective that we hope to expand on it.

If payroll consolidation means the House model is adopted for the entire police force, it would mean this committee and the Rules Committee would have to get involved in all details of personnel classification and negotiation. I do not believe that this is what the Senate wants to do, but the House feels just as strongly that statutory positions have to be retained as a necessary part of oversight.

I suppose there are good arguments on both sides, and the sovereignty of each House has to be respected. Each has a right to do business as it sees fit. Rather than get hung up on this issue, I suggest that we defer the question of payroll unification and turn our attention to other problems that can be addressed—problems like different policies on leave without pay, different pay days, and so on.

In addition to internal disparities, the police are also out of sync with other agencies on pay and retirement. This makes it tough to keep morale up and makes it even tougher to compete for the most qualified applicants. Our best recruits often leave to join metro agencies. Almost one-fourth of all the recruits hired since 1985 have already left.

PAY COMPRESSION

One reason is pay. The Capitol Police rank at or near the bottom compared to forces in the area. In 1986 there was a $3,000 across-the-board increase for lieutenants and below, the first and last increase the police have had in 17 years. They have had only COLA since then, compared to the nationwide average of 5 percent raises every year for the past 5 years. What we are seeking today is compression of the police pay scale. It now takes 26 years for an officer to reach top salary. The average for other metro agencies is 12.8 years.

We can move to parity by compressing our pay scale to 14 years, at a cost of about $2 million. That includes the higher cost of benefits and longevity increases. It will mean an overall 4-percent personnel cost increase.

On retirement we are again behind most of the area jurisdictions. A Capitol Police officer must be at least 55 years of age and have 30 years of service to retire with full benefits. The Board is proposing retirement at 50 with 20 years of service, or retirement after 25 years at any age under FERS. There would be a mandatory retirement at age 55.

This will give the police exactly the same benefits as executive branch agencies, including the Park Police and the Uniform Division of the Secret Service. The House is already considering this and is expected to act favorably.

CIVILIZATION

This committee has been very supportive of our efforts to use civilians for nonlaw enforcement duties. GAO found that the proportion of civilians in the Capitol Police is far below the national or regional average. They say it should be increased. The Chief plans to submit a proposal to the Board to civilianize about 100 more uniformed positions. The first year savings are estimated at $18,000 per person, with savings of $5,000 to $10,000 every year after that.

Substitution would take place through attrition. For every civilian added to the payroll, one uniformed position would be eliminated. I am requesting that this committee authorize the substitution scheme for appointments to the Senate payroll.

SECURITY ENHANCEMENT PROGRAM

Last year we finished all the items left on the Senate security enhancement agenda. Last March an offsite delivery center was established for screening delivery trucks. In May all the permanent parking from the Senate side of the Capitol plaza was removed. In September magnetometer screening of employees was started.

UNION STATION PARKING

Construction of the new judiciary building has forced us to relocate about 500 staffers to parking at the Union Station garage. We are trying to provide some security with escort service and routine patrols, but we cannot do much more because the Capitol Police have no jurisdiction there. We are seeking an administrative change to give the police jurisdiction as long as the area is used by Senate personnel, approximately 2 years.

STATE OFFICE SECURITY

There has been a growing trend in the Senate toward larger State offices handling more case work at the local level. When several Senators raised concerns about security, the Chief and I visited a number of State offices. It was followed up by a telephone survey to all 390. We learned that more than one-fourth of them had some kind of security problem in the last 12 months, including unstable constituents who refused to leave, knife fights, threats, and other incidents involving guns and actual violence.

Just about every office said they wanted a duress alarm system to call for help if needed. Right now less than one-third have one. We are working on a plan to make sure it is available to all. We are also reviewing conflicting Federal, State, and local laws to make sure there is no confusion about who is responsible for security at each office site.

RACIAL DISCRIMINATION

One final point on recent charges of racial discrimination in the department. This is something I take very seriously. I cannot condone or tolerate discrimination of any kind. There have been 12 news articles and a couple of informal meetings, but no written complaints have been filed yet, and the grievance procedure established by the police has not been used. At this point we have nothing concrete to work with. When we do, we plan to make a careful review and ask an objective third party to evaluate the situation and make recommendations.

If there is discrimination in the force we want to know about it, and we will do what is necessary to improve the process. I trust in the Chief's fairness and his integrity and I know he feels the same way. We will be keeping the committee advised on our progress.

Mr. Chairman, members of the committee, I thank you very much for the kindness and support you have given to myself, the Chief, and the Capitol Police Board.

Senator REID. Mr. Giugni, will any of the 100 positions you propose for civilianization be on the House side?

Chief KERRIGAN. I will answer that question. Yes; as a matter of fact, of those 104 positions that we have done a study on and found it could be civilians, most of those are on the House side. Since the Senate has already instituted the Senate security aides which assist our officers at the doors, a lot of those would be the same type civilians that we would use on the House side.

Senator REID. You heard the figures that the GAO talked about where the national average for civilian employees was 25 percent, the District of Columbia 18 percent, and we are at 6 percent. If we added these 104 positions, do you know what percent that would bring it up to, approximately?

Chief KERRIGAN. I believe that would be about 12 or 13 percent.

Senator REID. So we would be getting close to—we would be halfway to where we should be anyway?

Chief KERRIGAN. Yes, sir.

Senator REID. Do you think that more can be done?

Chief KERRIGAN. I do; yes, sir.

Senator REID. With just as much efficiency?

Chief KERRIGAN. Yes.

Senator REID. In fact, there have been suggestions that one of the reasons that some of the police officers leave is because they are assigned to jobs that are not really police work?

Chief KERRIGAN. Exactly; yes.

Senator REID. Do you have any idea how many police officers on the Senate side are assigned to clerical or office type jobs that don't ordinarily require a trained police officer?

Chief KERRIGAN. Not right offhand. I can submit that to the committee for the record.

Senator REID. I would like that.

[The information follows:]

There are 668 Senate employees; 77 of the 668 are assigned to clerical-type positions (11.6 percent).

LETTER FROM FRANK A. KERRIGAN

May 17, 1990

COP 0.1410

Mr. Jerry Bonham
Professional Staff Member
U.S. Senate Committee on Appropriations
Washington, D.C. 20510

Dear Mr. Bonham:

I am providing, in response to your request, a listing of Capitol Police personnel who are on the Senate and House payroll and are also engaged in clerical assignments. It should be pointed out that while some positions on the list are entitled "Technician," they are not considered as clerical inasmuch as they serve in an administrative oversight capacity for each of the remaining clerical positions.

In May of 1989, the United States Capitol Police Board, directed that a "Task Force on Officer Reduction" be established. The Task Force was composed of members from the Senate Sergeant At Arms Office, the House Sergeant At Arms Office, the Architect's Office, the Capitol Police and their General Counsel. Studies were conducted to determine the number of sworn officers that could be redeployed by using non-sworn personnel. The Task Force identified that 114 positions could be civilianized without affecting performance.

The list that is being provided to you at your request identifies 121 clerical positions on both the House and Senate payroll, but does not coincide with those recommendations made by the Task Force since all personnel were taken into consideration. There are personnel in the clerical positions which we have identified for you that we do not seek to convert to civilians.

Moreover, this figure does not include a total of twelve positions in the Radio Maintenance Unit (3 positions), the Vehicle Maintenance Unit (6 positions), and the Photo Development Unit (3 positions). These positions have been deleted because they are not viewed as clerical positions, however they may be considered in the future. I believe that if they are converted to civilian positions they will cost substantially more than those positions which are identified in the attachment.

Please do not hesitate to contact me if I can be of any further assistance.

Sincerely,

Frank A. Kerrigan

Frank A. Kerrigan
Chief of Police

SENATE PERSONNEL

Rinaldi Terry	S	Admin Clerk	Special Events
Hicks Diana	S	Admin Clerk	Personnel
Ellis Calvin	S	Admin Clerk	Special Events
Serafin Lijane	S	T&A Clerk	Training
Grice Washington C	S	Admin Clerk	Employee ID
Neeley Michael W	S	Admin Clerk	Personnel
Ring Cathy	S	Admin Clerk	Gross'
Parker Kimberly	S	Admin Clerk	Special Events
Augustus Kevin	S	Admin Clerk	Personnel
Maris Charles	S	Admin Clerk	
Willis Dianne	S	T&A Clerk	Training
McGuire Rita	S	T&A Clerk	FLETC
McCann Isaac	S	Admin Clerk	Employee ID
Porelle Graal	S	Administrator	Info Mgt
Rhone Mary	S	Technician	
Czwartacki Steve	S	Admin Clerk	Data Proc
Mobbs Jean	S	Technician	Shelton's
Justice James	S	Admin Clerk	Admin Staff
Bignotti Kathleen	S	Admin Clerk	Chief's Staff
Wolford Richard	S	Admin Clerk	Planning
Duncan Woodland C	S	Admin Clerk	Reports
Scullen Edward	S	Technician	Planning
Harrell Frederick	S	Admin Clerk	Property
Meade Patricia	S	T&A Clerk	Planning
Pippin Susan	S	Admin Clerk	Planning
Howell Diane	S	Technician	Langley's
Connors Timothy	S	Technician	Chief's Staff
McAllister Rebecca	S	Technician	I/A
McCauley James	S	Admin Clerk	Court Liaison
Howard Ellen	S	Admin Clerk	Daytime
Barth Karl	S	Technician	
Leitera Frank	S	Admin Clerk	I/A
Philbin Margaret	S	Admin Clerk	Daytime
Walraven Ervin	S	Technician	
Cannon Stacie	S	T&A Clerk	
Nevitt Gregory	S	Technician	W/C
Tarrance Kimberly	S	Admin Clerk	Afternoons
Serafin Regina	S	Technician	
Nichols Daniel	S	PIO	W/C
Stowers Doreen	S	T&A Clerk	
Midgett Barney	S	Technician	
Lowman Dave	S	T&A Clerk	
Gugliotta Natale	S	T&A Clerk	
Fenstermacher Jerry	S	Technician	
Schmidt Diane	S	T&A Clerk	
Schmidt Michael	S	T&A Clerk	
Orem Paula	S	T&A Clerk	
Downing Jack Richard	S	T&A Clerk	
Marquis John	S	T&A Clerk	
Villani Anthony	S	Admin Clerk	Bell's
Angel Evan	S	T&A Clerk	
Smith Travis	S	T&A Clerk	
Kennedy James R	S	Technician	
Saleik Alex	S	Admin Clerk	Employee ID
Rivet Charles F	S	Admin Clerk	HDU
Stonestreet Raymond	S	T&A Clerk	

TOTAL 56

HOUSE PERSONNEL

Cochran William	H	T&A Clerk	Gallery Sec
Turner John	H	Admin Clerk	Employee ID
Houser Denise	H	Technician	Dr. Eisenberg's
Luckey Brenda	H	Admin Clerk	Employee ID
Farmer Ronda	H	Detective	T&A Clerk********
Fallon Harry	H	Plainclothes	T&A Clerk********
Green Pamela	H	Admin Clerk	Personnel
Anderson Catherine	H	Admin Clerk	Budget
Meerman Francis	H	Technician	Personnel
Sabino John	H	Admin Clerk	Procurement
Jennings Dorothy	H	Admin Clerk	Procurement
Digeronimo Mark	H	Fitness Center	
Fleming Thomas	H	Programmer	Data Proc
Quiroz Rose	H	Admin Clerk	Budget
Creegan Patrick	H	Programmer	Info Mgt
Pullium Richard	H	Admin Clerk	Data Proc
Coward Barbara	H	Admin Clerk	Admin Staff
Ceresa Michael	H	Admin Clerk	Nightshift
Bernier Antonio	H	Technician	
Torregrossa Sharon	H	T&A Clerk	
Brown Richard	H	Technician	
Barrios Cecelia	H	Technician	Gen Counsel
Wheatley Don	H	Admin Clerk	Afternoons
Rash Karen	H	T&A Clerk	
Elliott Charles	H	T&A Clerk	
Shark John	H	Admin Clerk	Admin Staff
StLedger William	H	Technician	
Lowman Donald	H	Technician	Admin Staff
Richardson Vincent	H	T&A Clerk	
Nieman Robert	H	T&A Clerk	
Williams Joseph	H	T&A Clerk	
Bolduc Louis	H	T&A Clerk	
Ethridge Arthur Lee	H	Technician	
Riggs Vernier	H	T&A Clerk	
Kemp Karen	H	T&A Clerk	
Seagle Robert	H	T&A Clerk	
Timmons Jeffrey	H	T&A Clerk	
Tomlin Zara	H	Technician	
Benac Plummer S	H	T&A Clerk	HDU
Gabor Mariann	H	T&A Clerk	
Kennedy Wanda	H	T&A Clerk	
Slezak Thomas	H	Technician	
Womack Penny	H	Admin Clerk	HDU
Myers Rodrick	H	T&A Clerk	
Stellabotta Merie	H	Technician	
Stanley Charlene	H	T&A Clerk	
Dibenedetto Antonio	H	Admin Clerk	Employee ID
Gossman Richard	H	T&A Clerk	
Kitchen Shirley	H	T&A Clerk	
Spencer Jeffery	H	T&A Clerk	
Black Clarence	H	Admin Clerk	Employee ID
Loughery Tara	H	Admin Clerk	Data Proc
Sayer Joanne	H	Admin Clerk	Reports
Vanmaastricht Donald	H	Admin Clerk	Reports
Riddle David	H	Admin Clerk	Property
Powell Wayne	H	Admin Clerk	Property
Flax Scott	H	Admin Clerk	Property
Caldwell Steven	H	Admin Clerk	Property
Kirtz Mary	H	Admin Clerk	Veh Maint
Brown Theresa	H	T&A Clerk	Property
Butley Melvin	H	Technician	Print Shop
Yacono Paul	H	Admin Clerk	
Harris Michele	H	Admin Clerk	Planning
King John	H	Admin Clerk	Planning
Coward Dorian	H	Admin Clerk	Planning

TOTAL 65

CIVILIAN EMPLOYEES

Chief KERRIGAN. But of those 81 civilians we have, like I said, all of them are on the Senate side, and a good many of them are in clerical positions also.

Senator REID. Now, the police officers that we have are well trained; is that not true?

Chief KERRIGAN. Yes, sir; some of the best training in the country.

Senator REID. They have gone though the—I know that Senator Nickles wouldn't like me to use this—but the Harvard of the law enforcement——

Chief KERRIGAN. The Federal Law Enforcement Training Center; yes, sir.

Senator REID. This is deemed by many to be the best training facility in the country for police officers?

Chief KERRIGAN. Yes, sir.

ATTRITION RATES

Senator REID. You heard the testimony given by the GAO that their interviews with people that have left the department show that their reasons are no different than for those who leave any other department. What are your comments in that regard?

Chief KERRIGAN. I think they are correct. What we are saying is that our overall attrition is not any higher than any of the other departments, but what I am saying—and I think we have a chart to that effect—is our young officers are the ones that are leaving. And I believe it is 530—if we can find that chart—as you can see, of the people that have left from 1984 to 1989, with less than 5 years, 271 have left. And along with that, 117 have gone to law enforcement agencies, 154 for other reasons.

Senator REID. And the first year or two of a police officer's life is where the big expense is because of the training and the new uniforms.

Chief KERRIGAN. Exactly, and what we are saying is, the people we are losing are the ones that have been here less than 5 years. What we have turned out to be is a training ground for other departments.

Senator REID. Now Chief, is there any comparison that we can make on these figures with other law enforcement agencies in the area? Are they losing young people also?

Mr. GIUGNI. Could I answer part of that, sir?

Senator REID. Sure.

Mr. GIUGNI. Compared to other metro agencies, the police are at or near the bottom on maximum pay. Our privates are No. 9 out of 10; for sergeants we are 8 out of 10; for lieutenants, 8 out of 10; captains, we are 7 out of 10; and as far as inspectors, 8 out of 8. It takes them 26 years to reach the top salary, compared to 12.8 years in other law enforcement agencies.

Compression will not change the salary schedule, but it will give some of these younger officers something to look forward to instead of looking over at Prince Georges County, Montgomery County, or the District of Columbia. And this is what we are concerned about—the loss of our young officers. That is what the Chief was referring to.

AGE GROUP COMPARISON

Senator **Reid**. Chief, my point though is I am sure a lot of law enforcement people leave just because they don't like it. And my point is, if you don't have figures could you get some figures as to the pattern in other areas, or even around the country. How many people go into law enforcement all gung ho and they get tired of packing the gun, or whatever their reason might be, and they just leave? I would like to know if our percentage of young people is greater than that of other areas.

Chief **Kerrigan**. I don't have the specific numbers for you, but I have done surveys of area departments. The Uniform Division of the Secret Service, Park Police, and their young officers aren't leaving near as fast as ours. The one thing with the Uniform Division of Secret Service, a lot of their officers go on and become Secret Service agents, so that is the way they lose theirs.

[The information follows:]

RESIGNATIONS OF 1988 AND 1989 APPOINTEES FOR LAW ENFORCEMENT AND OTHER REASONS

Agency	Number appointed	Voluntary resignations	Percent voluntary resignations	Resigned for law enforcement	Resigned for other reasons
Capitol Police	180	25	14	15	10
Arlington County	69	10	14	5	5
Park Police	48	6	13	2	4
Alexandria	51	5	10	4	1
MPDC	762	24	3	2	22
Montgomery County	135	3	2	2	1
Metro Transit	50	1	2	1	
Fairfax County	216	3	1	3	
Prince Georges County	273				

Note.—Secret Service Uniform Division not included because they consider an upgrade of a uniform officer to an agent as a resignation.

PHYSICAL FITNESS

Senator **Reid**. We approved a position last year to supervise the physical activities of law enforcement officers here. How has that worked?

Chief **Kerrigan**. It is really doing better than we expected. We have over 480 members of the department who have now signed up to use the physical fitness center, and there are times of day that you go in there and you have to wait in order to use some of the equipment in there. And we are very happy with the way it has turned out.

Senator **Reid**. How many hours is the facility in operation?

Chief **Kerrigan**. It is open 24 hours a day, 7 days a week.

Senator **Reid**. And that is because you do shift work?

Chief **Kerrigan**. Yes, sir.

Senator **Reid**. What was the total of cost of the fitness facility? Do you know?

Chief **Kerrigan**. I believe it was in the neighborhood of $50,000.

Senator REID. So that is better than one-third of your people are signed up for this, and that is a very high percentage.

Chief KERRIGAN. Yes; it is.

Senator REID. Again, this has been found around the country to be beneficial to police officers to have a place where they can maintain some type of physical conditioning. I am wondering if this figure, which is more than one-third, is different than those other departments around the country that have these facilities?

Chief KERRIGAN. That I can find out for you, sir.

Senator REID. I would appreciate knowing that.

[The information follows:]

This is a difficult question to answer since some law enforcement agencies do not have fitness facilities and many of those that do, do not monitor its use as we monitor ours. However, we contacted 15 agencies known to have fitness facilities and only the following could provide us with usage statistics:

U.S. Marshals Service (Arlington, VA, facility)—43 percent (150 out of a possible 350 employees); Drug Enforcement Administration (Arlington, VA, facility)—43 percent (600 of 1,400); and New York City Police Department (headquarters personnel only) reports a 25-percent usage (800 of 3,000).

Considering that our facility has been available for less than a year, our usage rate of 39 percent (481 out of 1,247) compares very favorably with these other agencies.

CLAIMS OF RACIAL DISCRIMINATION

Senator REID. We have seen in the press publicized claims of racial discrimination. In fact, a House Fair Employment Practice Review Panel awarded $9,100 to a black officer as compensation for racial discrimination, and black officers, according to press accounts, have voted to form a unit of the National Black Police Association. And it is my understanding that there has been an investigation called for by an outside group to look into this; is that right?

Mr. GIUGNI. A couple of months ago the Chairman, Mr. Jack Russ, called a meeting of the Capitol Police Board, and we formed a committee to look into that. Mr. Caulfield, representing the police department, and Brian Nakamura, Senate Sergeant at Arms counsel, looked into what we could do. We received a letter from the Chief recommending that we bring in an outside individual, and I will defer to the Chief as to what he has done on that.

Chief KERRIGAN. On one point Senator, I would like to point out that the one case on the House side they never did come back and tell us it was race discrimination. They would not give us the reason why they found for the complainant, and we have tried to find out but they haven't told us. We would like to know.

But what has happened so far is I have met with four members of that association who are members of our department, and I asked them for specific grievances where the problem was, where the race discrimination was. They had none at that time and told me that they would like to meet with me on April 3 and give me the problems that they foresee. And at that time I asked the Board to have somebody other than Capitol Police come in and investigate it. I don't want them to think that we are covering up anything, I want it to be investigated. If there is a problem I want it taken care of.

INCREASING JURISDICTION

Senator **Reid**. Chief, there is an indication that you want to expand your jurisdiction to cover the District of Columbia. That really doesn't excite me, but what I am interested in is that you have total jurisdiction in the area around Union Station. I would be interested in assisting in that, especially in view of the fact that we park some 500 automobiles down there; is that not true?

Chief **Kerrigan**. Yes; that is true. If I could show you one of the things here, the reason we are concerned about the jurisdiction down there, if you will look at this——

Senator **Reid**. Are we talking about Union Station now?

Chief **Kerrigan**. Yes; this is Union Station. If you will look on this map, we have our grounds outlined in red. If you will notice the red dots in the middle, those are robberies. If you look down at Union Station you will see how the robberies increased dramatically.

Senator **Reid**. Within the Capitol complex there are six or seven I see.

Chief **Kerrigan**. Relatively few. There's approximately, I believe, 22, if I am not mistaken.

Senator **Reid**. That is for during a period of a year?

Chief **Kerrigan**. Yes, sir; this is for 1989. I also have a map showing what has happened so far in 1990.

Senator **Reid**. OK. We will look at that after we finish.

UNION STATION PARKING

Chief **Kerrigan**. But you can see here, this is inside Union Station itself; this is behind Union Station. This is the area that you are starting to park Senate employees. You can see what they are going to have to go through in order to get here.

We have taken some steps, because even that number of robberies we have had on the grounds is unusual for us, and we have tried several different tactics to see if we can't control it. Last summer we put officers in what we call old clothes, plain clothes, out on the street trying to intercept some of these people, and it was successful for awhile. But after awhile they caught on to what we were doing and that fell apart. So what we are doing now, we have taken seven of our best officers from the patrol division, put them in uniform and put them in unmarked cars. They are going around and identifying these people that really are just hanging around for no good reason. They are identifying them, and since we have done that we have only had one robbery on the Hill, and that has been since the first of the year. So that has been successful so far. If something should happen that this would fall apart, we will come up with something else.

Senator **Reid**. Senator Nickles, I think that with those people trying to go to their cars on a nightly basis, or early in the morning, I think that we should try to do something quickly.

Senator **Nickles**. I concur. I was going to say, go ahead and finish and I will——

Senator **Reid**. I am just about finished.

Senator **Nickles**. Let me followup then on this.

Senator **Reid**. Please do that.

Senator **Nickles**. Last night we were in session to 10:30, 11 o'clock. I had a staffer who was parked not too far from Union Station so I drove her there. But I asked the question, ever any problems walking, and she had not; others had.

LATE NIGHT SECURITY

Is there additional security or foot patrol or anything particularly when we are in late? Because most of the time, like tonight we are not going to be in session so there is not going to be a lot of staffers walking there at 10 o'clock at night, but last night there was.

Mr. **Giugni**. On late nights we will provide escorts—if we have the personnel. We will escort them down in this area, or up into the Union Station.

Senator **Reid**. But you know, Henry, the problem with that is that these people work real hard. Like last night we did not know when we were going to get out. They have got husbands at home, wives at home, they don't have time to wait around to see if you have an extra police officer.

Chief **Kerrigan**. I'll tell you what we do. Whenever the House or Senate is in for a late session we hold over people to make sure that we have enough personnel out on the street, and also on the doors to keep those open, so we do keep people over when the Senate is late in session.

Mr. **Giugni**. And so do I upstairs in my own office.

Senator **Reid**. Does this take statutory action to expand your jurisdiction here to Union Station?

Chief **Kerrigan**. Yes, sir; it would.

Senator **Reid**. I think where we see all these burglaries and robberies—these are just robberies—where we have so many of our people coming to and from work that we certainly should do something about that.

Senator **Nickles**. How many cars are parked at the Union Station parking lot?

Chief **Kerrigan**. Five hundred.

Senator **Nickles**. And it is a pretty sight behind Union Station, and it is a pretty vacant——

Mr. **Giugni**. The best way is to go into Union Station, get the escalator and go upstairs. It is the safest route to go. And yet even within the Union Station, all these incidents have taken place.

Chief **Kerrigan**. Right in here, these are all within Union Station.

Senator **Nickles**. I understand. But the parking lot which I have seen is behind it, it is isolated to some extent, and late at night you are susceptible. It is fairly well lit, if I remember.

Mr. **Giugni**. It is. You can catch the escalator and go upstairs, but you still have to walk a certain distance to get to your car.

Senator **Nickles**. And it is a pretty rough area around there.

Chief **Kerrigan**. It is a very rough area.

MAGNETOMETER SCREENING

Senator **Reid**. The last question I have concerns magnetometer screening of employees. Has that been helpful or effective? Have we been able to pick anything up?

Mr. **Giugni**. In the first 24 hours we had a few problems with congestion. Since then, everything has worked out. I think it has been a great asset to the Senate. We have picked up two weapons, pistols, brought in by employees coming through those magnetometers. The screening has been excellent. When we had a problem in the South with the postal bombings, everything on the Hill was already in place. Our mail was being screened and so were the packages coming in the doors. It gave people a feeling of comfort to know that we had all of this in place.

Senator **Reid**. Are we still x raying the mail?

Mr. **Giugni**. Yes.

Senator **Reid**. With all the problems, I think that is important.

If you would be at ease, Senator Nickles will be finished in just a short time and he has some questions for you.

Do you have any other charts you didn't show us that we should see?

Chief **Kerrigan**. Yes; while we have got time we can do show and tell.

Senator **Reid**. I just love visual aides.

CRIMES

Chief **Kerrigan**. This one right here shows the crimes since October——

Senator **Reid**. There still are a few inside——

Chief **Kerrigan** [continuing]. Until February.

Senator **Reid** [continuing]. But not many.

Chief **Kerrigan**. Yes; that is just from October to February. You can see it has increased a little bit on our grounds, which I alluded to.

Senator **Reid**. But you think you have got that under control?

Chief **Kerrigan**. For the time being, yes, sir. But this is up until about 1 month ago.

Senator **Reid**. Still a lot of them at Union Station?

Chief **Kerrigan**. Still a lot of them at Union Station, yes. You know, since they fixed the place up and it is attracting large crowds, that is what has happened.

Senator **Nickles**. Mr. Chairman, could I ask a question?

Senator **Reid**. It is your turn.

SIZE OF POLICE FORCE

Senator **Nickles**. I made the statement in my opening remarks—I made the statement last year as well—that I thought that we had too large of a police force. Do you agree with that or disagree?

Chief **Kerrigan**. What I agree with is I think that we can go ahead and civilianize a lot of those positions.

Senator **Nickles**. I understand that, and compliment you on that. I think that is a good suggestion.

Chief KERRIGAN. To somebody that doesn't realize what we do, it does look like we have a very large department. But you have to take into consideration that we have a lot of posts that we have which are security posts, and they have to be manned by a law enforcement officer. Also, the demonstrations that we have up here really take a toll on us as far as manpower goes. Tomorrow we have a demonstration of 50,000 people. It takes a lot of people to——

Senator NICKLES. What is that on?

DEMONSTRATION ARRESTS

Chief KERRIGAN. It is on South America. There is planned civil disobedience. Like last week we had a demonstration that was unique, and it was very hard to deal with, with the handicapped. We had 104 arrests one day and 59 the next, and just the time it took dealing with those people tied people up for—I believe we started one day making the arrests at 1 o'clock in the afternoon and we didn't finish until 3 in the morning.

Senator NICKLES. When the group—and I started to say the Community for——

Chief KERRIGAN. Creative Nonviolence.

Senator NICKLES [continuing]. Creative Nonviolence.

Were they the ones that were responsible for throwing the——

Chief KERRIGAN. Yes.

Senator NICKLES. Was that blood?

Chief KERRIGAN. I believe it was a mixture of blood and red paint, yes.

Senator NICKLES. Were they that skilled in coming up the Capitol steps and doing all that? Why weren't we able to prevent that from happening?

Chief KERRIGAN. Well see, the Capitol steps are open for people to come up and have their pictures taken and that type of thing. On the House side, the person that did it actually came up with a group that was having their picture taken with a Congressman. And once they turned around to have their picture taken this person took right off and got as far as he could.

The one on the Senate side, if you are familiar with it, made it to the first landing, and our officer tried to apprehend him. Of course, we don't go and grab every civilian that starts walking up the steps, because a lot of them just don't know they are not supposed to do that.

Mr. GIUGNI. Wasn't that a female?

Chief KERRIGAN. Yes; it was a female who had it under her coat. They had the plastic containers underneath their coats, so, of course, the officers didn't see anything to start with. And what we normally do is just politely tell the person, "Please get off the steps." When he did this the person took off running and made it about halfway up and threw it from there. He had already grabbed hold of her when she threw it.

Senator NICKLES. I happened to see the results of that and I was offended by it.

Chief KERRIGAN. So were we.

Senator NICKLES. Could that have been a bomb?

Chief KERRIGAN. Certainly, yes.

Senator NICKLES. Would there have been a way of detecting that bomb——

Chief KERRIGAN. No, sir.

Senator NICKLES [continuing]. If that person was carrying the bomb on the Capitol steps?

We read in this morning's paper where Qadhafi has possession of 1,000 tons of explosive material.

Senator REID. Just from one country.

Chief KERRIGAN. No; there is no way for us to detect them as long as they are outside.

CLOSING OF SENATE STEPS TO PUBLIC

Mr. GIUGNI. Since then, we have put a tape across there to prevent them unless there is a reason for them to come up there. The Senate steps are no longer open to the public. If you and the Senator want to go up, it is fine, but the average constituent cannot come up those steps at all now.

Senator REID. Don, would you yield?

Senator NICKLES. Sure.

PLASTIC EXPLOSIVES

Senator REID. Last year at this time we were talking about a new type of instrumentation that would pick up these plastic explosives. Is that still in the experimental stage?

Chief KERRIGAN. It is still in the experimental stage, but also that wouldn't do anything to pick up people walking across the grounds or getting to the steps or something like that.

Senator REID. Yes; I understand that.

Chief KERRIGAN. We are looking at that for the doors.

Senator REID. We are going submit to you some questions in writing. In your response would you give us as much detail as you can regarding the new instrumentation on picking up plastics explosives?

Chief KERRIGAN. Yes, sir.

TOTAL POLICE FORCE

Senator NICKLES. A couple of comments. I mentioned, I didn't quite hear a total response—and Henry, I would like to hear your response too—as far as the total police force. It still seems that 1,300 to me seems too large. I made the statement last year when you all had addressed the fact of you are having a hard time with retention and so on. I said, well, I wouldn't have a problem if you reduced the police force and took some of those savings and enhanced the benefits, and maybe did some efforts to enhance the quality of the police force.

You mentioned that you are losing a lot of your younger officers. You do have a lot of—I don't know exactly the demographics of the police force—but you do have some that are certainly in their fifties and maybe not in the best of physical shape. And yes, we have put in a physical facility, but that doesn't mean that all police officers, particularly those—well, I am not going to say in any particular area, but you have some officers that might not be physically capable of apprehending somebody if they were running up the steps, charging with some type of explosive material.

Chief KERRIGAN. But to get back to the number of police officers that we need, like I said, it looks like we have a lot, but once we cover everything we have to cover during the day, I believe we are currently working an average of 30 some men a day on overtime. And, of course, a lot of it has to do with high visibility, and that is one of the reasons that the crime kind of stays at our borders, because our people are out there. And I think if we would reduce the number of the force we would see the number of problems increase.

Senator NICKLES. Well, I still look at the number of acres and I see 1,300 people, and it just looks like you are flooded with people.

Chief KERRIGAN. Exactly. But once you look and see where all our officers are stationed, at entrances of all the buildings, the doors, the garages, it takes an enormous amount of people to take care of all the entrances.

Senator NICKLES. You also made a recommendation for having private work. You mentioned you wanted to increase that 100, if I heard you correctly. So right now the Senate has 80, you would like to increase that to 100?

Chief KERRIGAN. No; increase it by 100.

Senator NICKLES. Increase it by 100. So there would be 180 total out of your total work force of 1,300, so that would be about 12 percent, or 13 percent, something like that.

INCREASED SECURITY

Mr. GIUGNI. I would like to point out that this year, because of the problems in Eastern Europe we have had more dignitaries and heads of state travel here than we have ever had before, and it has increased security requirements. The day that the blood was thrown was the night of the State of the Union Address. We have had an increasing number of dignitaries from Poland, Czechoslovakia, Italy, and El Salvador. The average person doesn't realize how many of these people are suddenly coming to the Capitol, and we have to grab as many of the officers we can for coverage.

Senator NICKLES. There is no question, the visitors and others make a difference. I don't want to be overly critical. But I do remember that State of the Union night, and I was bothered by the fact that here we have this massive police force for this amount of acreage and someone was successful with paint or blood, which is offensive to this country, offensive to the Capitol. If it had been a bomb it could have been a disaster.

Mr. GIUGNI. I was very bothered about it, and I assure you that that police officer is no longer there.

Senator NICKLES. Well, I'm not trying to—I don't want to say I have 20/20 hindsight, but I just express my concern. I don't know that that means we need another 100 officers because somebody was successful in evading one or two officers. My point, I still think from the budget standpoint—correct me if I'm wrong—but I just calculated some figures, but the average compensation last year, if you add the wages and benefits, would be $43,000; next year it would be $47,000. I am just taking the total figures that you have and dividing by 1,300. That is probably plus or minus. Are those correct?

Mr. GIUGNI. Could I have Brian Nakamura comment on that?

REDUCTION OF THE FORCE

Mr. NAKAMURA. With respect to the reduction of the force, Senator Nickles, as a direct result of your questions last year, the Board and the Chief assigned a staff-level task force to look at the possibilities of reducing the USCP to 1,000 officers. In strictly raw terms, this equates to a 264-post reduction. Since officers are associated with assignments and posts, such a reduction would result in a substantial limiting of the quality and nature of services provided.

On an across-the-board cut, about 15 percent of the doors to the congressional office buildings and Capitol would have to be closed. Fingerprint services, CID, and criminal investigation would be limited. The issue, as we look into it, isn't so much how many officers you have but what services are provided.

We also made an examination of the posts that are currently in existence and identified some 38 posts that could be closed. Ironically though, as we got into it, it appeared that rather than an argument for absolute reduction taking place, an argument can be made for actually increasing the number of officers.

On the average day, as the Chief mentioned, something like 30 officers are required to take overtime to come in and fill routine posts. So in effect Congress is required to pay them at time-and-a-half just for the posts that have been created. The reductions that are going to be accrued by the elimination of certain posts they plan to attach to the overtime reduction.

Senator NICKLES. Mr. Chairman, I have a time bind and I kind of wanted to hear Mr. White, at least momentarily.

PREPARED STATEMENT AND ADDITIONAL COMMITTEE QUESTIONS

Senator REID. We have a series of questions we will submit to you in writing, and if you could can get back to us we would appreciate it.

[The information follows:]

STATEMENT OF HENRY K. GIUGNI

Mr. Chairman and members of the Committee, thank you for this opportunity to present the Fiscal Year 1991 budget request for the United States Capitol Police.

The full budget request is detailed in the schedules which have previously been submitted to the Subcommittee. In summary:

The total estimated FY91 budget for the Capitol Police is $63,884,000. This is $7,352,000 more than FY90, and represents a 13% increase. The increase breaks down as follows: General Expenses $196,000; Personnel Compensation $5,756,000; and Personnel Benefits $1,400,000.

GENERAL EXPENSES

FY90	FY91	Increase
1,876,000	2,072,000	196,000 (10%)

The increase in General Expenses is $196,000 or just 10% over the FY90 appropriation. This increase can be attributed generally to increased training, travel, and transportation costs associated with staff development, protective details, increased maintenance costs, and routine replacement of expendable materials. There are no new programs intended to be funded by this budget request.

By Object Class, the proposed FY91 General Expenses budget is as follows:

TRANSPORTATION OF PERSONS

FY90	FY91	Increase
174,400	215,868	41,468 (24%)

This object class includes airfare, car rental, mileage, tolls, per diem, and any other expenses incidental to official travel by members of the Capitol Police. Travel expenses under this Object Class are usually related to training, protective details, or other travel related to official business (e.g. ceremonial functions, investigations, relocation of residence due to change of duty post). The budget increase is attributable to anticipated specialized training in the Criminal Investigations Division, the Technical Security Division, and continued expanded demand for protective services.

TRANSPORTATION OF THINGS

FY90	FY91	Increase
9,600	11,650	2,050 (21%)

Includes all transportation costs (e.g. freight) except: regular mail service (included in Rent, Communications, and Utilities) and travel and per diem (included in Transportation of Persons).

RENT, COMMUNICATIONS, AND UTILITIES

FY90	FY91	Increase
102,671	114,630	11,959 (12%)

Includes lease and rental of equipment and services, regular mail service, and commercial long distance service. An increase of over $11,000 can be attributed to the increased cost associated with the addition of the Lexis/Nexis Data System requested by the Protective Services Bureau, increased costs associated with the IBM lease and the maintenance contract for the equipment and access to the computerized communications network (e.g. WALES/NCIC).

OTHER SERVICES

FY90	FY91	Increase
303,040	336,063	33,023 (11%)

Includes repairs and alterations to equipment, maintenance contracts, tuition and registration fees, uniform maintenance, and professional services.

SUPPLIES AND MATERIALS

FY90	FY91	Increase
866,053	911,407	45,354 (5%)

Includes commodities that are ordinarily consumed or expended within one year after they are purchased, e.g., ammunition, photo supplies, fuel, oil, repair parts, and miscellaneous supplies.

CAPITAL ASSETS

FY90	FY91	Increase
420,135	482,781	62,646 (15%)

Includes purchase of personal property of a durable nature, e.g., weapons, motor vehicles, radios, photographic equipment, electronic equipment, printing equipment, and office equipment. The increase is directly attributable to costs associated with the acquisition of additional weapons, vehicle replacement, and video recording equipment.

PERSONNEL EXPENSES

The Capitol Police are currently authorized to employ 1346 personnel. The total number of employees include 1265 sworn officers and 81 civilians. 657 officers are paid through the House of Representatives, while 608 officers and 81 civilians are paid from the Senate payroll. Two new private positions on the Senate payroll are requested for FY 91.

FY89	FY90	Increase
54,656,000	61,812,000	7,156,000 (13%)

Of the increase of $7,156,000 over FY90, compensation accounts for $5,756,000, with the remaining $1,400,000 designated for employee benefits.

The $5,756,000 increase in compensation is justified as follows:

> $1,713,000 will serve as a pay scale adjustment in order to bring the U.S. Capitol Police from a twenty-six year, sixteen-step schedule to a fourteen-year, twelve-step scale.
>
> $1,675,000 is attributable to mandatory pay administration, e.g., Cost of Living Adjustments, longevity increases, and rank adjustments retroactive to Fiscal Year 1990.
>
> $1,017,000 restores reductions caused by the Fiscal Year 1990 Sequestration.
>
> $650,000 is budgeted for the Fiscal Year 1991 Cost of Living Allowance.
>
> $450,000 is attributable to yearly longevities at $774 per officer per man due to the anticipated pay schedules compression.
>
> $166,000 is the anticipated increase in overtime compensation.
>
> $85,000 will serve to restore 2 Senate uniform positions to clarify some ambiguity in the Fiscal Year 1990 Legislative Branch Appropriations Act as well as funding for the civilian Physical Fitness Director position.

General Accounting Office Study/Payroll Consolidation

At the direction of this Committee, the Capitol Police have worked with the General Accounting Office (GAO) in its study of the effects of dividing the USCP personnel between separate House and Senate payrolls. Each member of the Capitol Police Board and Chief Kerrigan have been briefed on the GAO's findings to date. I believe that the GAO is to be commended for its diligence and comprehensiveness.

I believe in a unified police force and believe that everything reasonably possible should be done to achieve this end. However, I am increasingly convinced that in certain fundamental respects, absolute unification may not be practicable.

The problems of a divided payroll have been well documented by the GAO. We have known about them for some time. In fact, as the Committee is well aware, a proposal for the consolidation of the Capitol Police was included in the Senate's version of the FY 89 Legislative Appropriations measure. This proposal not only provided for a single payroll and the greater use of civilians, it addressed leave, retirement, discipline and other areas that the GAO has identified as necessary administrative improvements. I was, and remain, committed to the substance of that proposal.

The reason why we have not been able to go any further since that time goes to a fundamental difference between how the Senate and House of Representatives have chosen to structure their personnel systems for support services.

In 1981, at the initiative of this Committee, the Senate effectively abolished the concept of statutory positions. Prior to that time, every position and salary for the Sergeant at Arms' and Secretary of the Senate's systems had to be established as a matter of law or resolution. It was apparently the Committee's judgement that this system had proven cumbersome and unwieldy. As it currently stands, Senate personnel administration is treated as it is in every other federal agency -- administrators are given a personnel budget and made accountable on the basis of production. Oversight, but not statutory position regulation, is performed as a part of the authorization and appropriations process.

U.S. Capitol Police personnel requests are currently conducted in this fashion for positions on the Senate payroll. Essentially, the Chief of Police makes a recommendation, the Board reviews the proposal and, if adopted, funding is sought or necessary fiscal adjustments (positions are abolished; vacancies are left open, etc.) are made.

The House of Representatives has retained the requirement of statutory positions. Consequently, positions and compensation on the House payroll must be established by full committee action. Any modification or addition requires a similar process. The Chief and Board are provided with little flexibility with regard to the number of privates, sergeants, etc. on the House payroll. A formal request must be made and a subcommittee and a full committee must agree before even one private or civilian can be added to the House rolls.

The dilemma surrounding payroll consolidation is whether the House or Senate philosophies governing personnel position authority should prevail for the Capitol Police. I, quite naturally, strongly endorse the Senate position. The Chief of Police, subject to reasonable oversight and fiscal limitations, should be permitted to structure and staff the force in his/her best professional judgment. It is, the most reasonable way to run a professional police force of more than 1,300. Just as it would not be effective or efficient for the Congress to study and mandate the number of accountants, investigators, supervisors and clerks hired by the GAO. I believe that it is similarly unwise to do so with regard to the Capitol Police.

An example of the advantages of effective lump sum authority lies in the area of civilianization -- a concept that the GAO has enthusiastically endorsed. Currently, all of the 81 civilians working for the United States Capitol Police are on the Senate payroll, simply because the House of Representatives has never statutorily created or permitted the establishment of civilian positions. At the urging of the Capitol Police Board and this Committee, the Chief of Police has utilized civilians as security aides stationed throughout the Senate office buildings and the Senate side of the Capitol, in the communications tunnel, at the off-site delivery center, and most recently, for professional computer assistance, and to hire a fitness coordinator. The program has proven to be tremendously successful both in terms of economy and in ensuring the availability of civilian professional services.

The success of the program has been, at least in part, a result of the flexibility provided to the Chief in determining when and where a civilian is to be utilized. It is, the Chief's intention to expand the civilianization program by as many as 100 by filling appropriate vacancies with civilians. Although the House has this matter under consideration, the Senate payroll is currently the only available vehicle for this program.

Any payroll consolidation program which, in law or fact, provides for statutorily created or regulated positions would effectively impose the House model upon the entire force. This Committee and the Senate Committee on Rules and Administration would then be required to involve itself in evaluations and negotiations regarding the number and nature of every U.S. Capitol Police position. It is my understanding that neither Committee chairman believes at this time that this is the most appropriate way to proceed.

Because representatives of the House appear to feel equally strongly about retaining statutory positions as part of oversight, an impasse has been reached over payroll consolidation. I do not believe that this impasse can be broken. Perhaps, in recognition of the sovereignty of both Houses of Congress, it should not.

In any case the basic difference regarding statutory positions has so overshadowed the general discussion that smaller measures which could have been taken, have not been given due consideration.

If it is the Committee's judgement that the Senate lump-sum authority model should be retained for at least part of the United States Capitol Police, and if it remains the House of Representatives' position to retain statutory position authority, it is my recommendation that, at least for the time being, the question of payroll unification be deferred and that the GAO be requested to submit its recommendations for the resolution of identified problems based upon the existing separate payroll authority.

This does not in any way represent a concession -- it is simply a recognition of the independence of the two Constitutionally-established Houses of Congress in the management of their internal affairs.

Civilianization/Force Reduction

The use of non-sworn personnel (civilians) to fill administrative and other non-law enforcement responsibilities has been encouraged and supported by this Committee. It is my understanding that the GAO has, or will, strongly support the expanded use of civilians for reasons of both economy and efficiency. In fact, it has determined that the proportion of civilians in the U.S. Capitol Police does not nearly approximate the national or regional average and should substantially be increased. This conclusion mirrors that which was independently reached by Chief Kerrigan and the Capitol Police Board.

As noted earlier, the Chief will submit to the Board a proposal to civilianize approximately 100 currently uniformed positions. Because no police training will be required, first-year savings are estimated to be as high as $18,000 per position with subsequent annual savings of $5,000 - $10,000. The substitution will take place through attrition and, depending upon the decisions made in the House of Representatives, civilians will either be divided between the House and Senate payroll or placed exclusively on the Senate payroll. If the House payroll cannot include civilians, the number of civilians must be reduced. For every civilian added to the Senate payroll, one uniformed position will be eliminated. I respectfully request that such flexibility be authorized as a part of this appropriation in the form of report language permitting the substitution of civilians for uniformed personnel on the Senate payroll.

If, as we anticipate, the first increment of 100 proves successful, efforts will be made to further expand the program. Civilianization is an important part of the professionalization of the USCP. We should not have, or be perceived to have, too many officers performing duties that do not require law enforcement training or compensation. Consequently, it is our intention to reduce the number of uniformed officers by substituting civilians.

It is important to note, however, that any total reduction in manpower means a reduction in services provided. For example, a preliminary study of the effect of an across the board force reduction of 21% (from 1,346 to 1,003) suggests that over 30 Congressional Office Building entrances would have to be permanently closed, and services such as employee identification card issuance, crime scene search and criminal investigation would be severely inhibited.

Some efficiencies can be identified and obtained. The Chief has identified at least 38 posts which can be closed without substantially impacting security or services, and it is the intention of the Board to apply manpower gained from any such post closings to reducing overtime. But, marginal efficiencies notwithstanding, (and such efficiencies will continue to be sought) the fact remains that the size of the force is a product of the quality and level of services demanded by Congress.

PAY COMPRESSION AND RETIREMENT

If the Capitol Police are to continue to evolve into a fully professional law enforcement organization, appropriate compensation and benefits packages must be provided. This is not the case currently.

For example, acknowledging the need to attract and retain qualified individuals and recognizing all officers are required to assume great responsibility and at least some risk, law enforcement organizations typically utilize accelerated pay step schedules. In the 9 other metropolitan and federal law enforcement agencies in the DC metropolitan area, the average number of years required to reach top salary is 12.8. Nationwide, metropolitan police departments have averaged 5 percent raises for the last 5 years. The Capitol Police not only rank at or near the bottom in terms of starting and maximum pay for the regional area, the current scale requires 26 years to reach top salary. With the exception of a $3,000 increase for lieutenants and below that occurred in 1986, no adjustments other than COLA have been made for 17 years.

Similarly, in order to maintain young and vigorous forces, and, in recognition of the "burn out" factor associated with the job, law enforcement organizations typically permit retirement after a minimum number of years, regardless of age, and/or retirement at age 50 or 55 with a reduced minimum service requirement. This is usually coupled with a mandatory retirement provision. Unlike almost all agencies in the metropolitan area, a Capitol Police officer must be at least 55 years old with 30 years of service to retire with full benefits. No mandatory retirement provision exists.

According to the Capitol Police, the effects of these disparities include reduced morale, a failure to attract the most qualified applicants in a highly competitive market, the loss of many younger officers to other departments, and the forced retention of older personnel. While the GAO has apparently not been able to statistically prove that the Capitol Police's total attrition rate is extraordinarily high, the Chief, Capitol Police Board, and virtually every officer can testify that the obvious inequalities between the USCP and similar agencies -- including the Uniformed Division of the Secret Service and Park Police -- undermine the morale, professionalism and quality of the police force. The USCP has lost 23.4% of all officers hired since 1985.

To begin the process of bringing the Capitol Police into relative parity with other local police departments, the Capitol Police Board requests that the Committee, in FY 91, make funds available to compress the pay step schedule from a sixteen-step, twenty-six year scale to a twelve-step, fourteen-year schedule. The cost of pay scale compression for FY 91 is $2.09 million, inclusive of increased employee contributions and increased longevity costs. This amounts to an overall 4% personnel cost increase.

Pay compression will still leave the USCP near the bottom in comparison with other regional departments. However, it will correct an obvious administrative disparity and provide some degree of relief.

With regard to retirement, the Board has proposed legislation which will bring the Capitol Police in line with other federal law enforcement agencies. Specifically, FERS participants would be able to retire after 25 years of Capitol Police service at any age or at age 50 after 20 years of service. CSRS participants would be able to retire at age 50 with 20 years of service. Mandatory retirement would take place at 55 years of age, subject to the option of the Capitol Police Board to extend mandatory retirement for five years. In order to ensure fairness to existing personnel, mandatory retirement provisions would not take effect for two years.

The retirement provision is currently under consideration in the House of Representatives, where favorable action is anticipated.

SENATE SECURITY ENHANCEMENT PROJECTS

In 1989, all items remaining on the Senate security enhancement agenda were completed.

Magnetometer screening of employees has been viewed by the USCP as of significant importance since no security checks or clearances are obtained for most employees of the Capitol complex. There was no way to ensure that persons who obtain employee identifications cards were not wandering the halls of the Capitol with contraband or weapons. Beginning in September of 1989, all employees entering the Capitol or Senate Office Buildings have been required to go through appropriate screening. The program has proceeded without incident or substantial inconvenience.

Removal of all permanent parking from the Senate side of the Capitol Plaza took place in May, 1989. Similar action by the House of Representatives, coupled with the establishment of the offsite delivery center, have successfully addressed what had been the single largest vulnerability of the United States Capitol. The parking removal program also proceeded without substantial incident or inconvenience.

UNION STATION PARKING JURISDICTION

Beginning in April of this year, the Senate will be leasing approximately 500 parking spaces at the Union Station complex. The spaces will be utilized during the construction of the

Judicial Office Building by the Architect of the Capitol. We will attempt to provide for the security of Senate personnel parking at Union Station through the continued availability of Police escorts and routine vehicular patrols. However, little more can be done at this time since the jurisdiction of the Capitol Police does not currently include the parking area being leased.

In order to ensure that the Capitol Police can appropriately secure the leased parking area, we are seeking adoption of an administrative provision providing the Capitol Police with jurisdiction while the area is utilized by Senate personnel.

STATE OFFICE SECURITY

An area upon which we will be focusing in the coming year is state office security. In the Senate, there is a trend toward larger state offices which assume responsibility for the tens of thousands of casework requests received each year. These large offices increasingly encounter unstable persons or irate constituents who sometimes constitute a security threat. And, in all of the Senate's almost 400 state offices, concerns about security reflect the changes taking place in the public's attitudes towards personal security and safety.

Recently, at the request of several Senators, the Chief and I visited state offices in Virginia, Maryland, Kentucky, Nevada, Texas, and Colorado. This was followed by a telephone survey to all state offices on the issue of security.

We learned that over a quarter (112) of the almost 400 state offices reported some type of security problem or incident in the last 12 months. Security problems ranged from unstable constituents occupying the Senator's office to knife fights, threats to staffers and senators, and incidents involving guns and actual violence.

Although almost 100% of the offices say that they would like some form of effective duress alarm system, less than 30% of the offices are currently equipped with them. We are working with the Capitol Police to make them available and to provide a systematic means to evaluate security when there is a concern.

It has also been reported to me that the physical security in Federal office buildings has been reduced because of cutbacks in General Service Administration budgets and that there is a need to address the conflicting federal/state/local laws and regulations governing demonstrations and other activities in state offices. We will be reviewing the issues and working with the GSA to attempt to address this problem.

Allegations of Discrimination

In the last four months the United States Capitol Police have been the subject of at least 12 newspaper articles regarding allegations or conclusions of racial discrimination. Chief Kerrigan, Mr. Russ, and myself have individually met with black officers on the subject for in excess of six hours. And it is my understanding that on at least three occasions, meetings of black Capitol Police Officers were held to organize and express their grievances.

I am deeply concerned about the apparently growing impression that racial discrimination does or may exist within the Capitol Police Force. And I will not tolerate any such discrimination.

But despite the news reports, informal meetings, and efforts at organization -- no grievances have been filed, no written complaints have been forwarded and no formal request has been made to alter departmental practices or procedures. Until we are made aware of the nature of the allegations in a way that will permit systematic evaluation and correction, it is impossible to meaningfully address the substance of any such complaints.

I have been advised that within two weeks, written complaints or allegations will be forwarded to the Chief of Police by representatives of black officers. These complaints will be reviewed by the Chief and Board, and I will join the Chief in recommending that all substantive complaints be submitted to a process of evaluation or mediation by an objective third party, who will also be asked to develop any appropriate programs and policies determined to be necessary.

The recommended use of an objective third party does not in any way concede the existence of discrimination. Rather, it is an indication of the seriousness with which any such allegations are taken. If any individual or systemic discrimination exists, it simply cannot be tolerated. But, we similarly cannot let a matter of such seriousness be resolved in the press, turned into a political football, or, most importantly, divide the force between black and white.

Before concluding my remarks on this matter, I believe that a few things need to be clarified regarding the existing policies and practices of the Capitol Police so that the impression is not created that the USCP has been indifferent to discrimination.

General Order 1210 of the USCP expressly prohibits racial discrimination. As an enforcement mechanism, General Order 2250 provides for a grievance procedure which culminates in determinations by an elected grievance panel which makes recommendations to the Chief. This mechanism was established in good faith to ensure an avenue of recourse for such complaints. We are very disappointed that it has not been utilized and the Board has already undertaken an independent evaluation of its adequacy.

Statistically, the promotion process is open to all. In fact, in the last promotional cycle a significantly higher percentage of black officers than white officers participated in the examination process. 54% of all black officers eligible for promotion took part in the examination process. 43% of eligible white officers did so.

The examination testing process has been run since 1986 by a recognized expert in the field, Dr. Terry Eisenberg, who, in fact serves as a consultant to other departments on such matters. Tests are those used nationally. They have been certified to be free of bias and are administered by a competitively procured professional organization.

Statistically, blacks are substantially under-represented in the ranks of Captain and above. But personnel at these ranks average over 20 years of United States Capitol Police service and have worked their way up very gradually. Twenty years ago, for whatever reason, there were far fewer blacks on the police force, so that raw statistical comparisons reflecting proportions which have changed drastically within the last ten years can be very misleading.

This is not to say that the process cannot be improved. or that no discrimination currently exists. I only seek to make the point that the Department has not been indifferent to establishing avenues of recourse and ensuring objectivity. And that raw published statistics which invite conclusions but ignore context cannot be the basis of policy. I trust in the integrity and fairness of the Chief of Police, Frank Kerrigan, and know that the results of any fair and professional evaluation will also be fully implemented.

I will, of course, keep this Committee fully apprised of the progress of this matter.

Thank you again for the opportunity to appear before you today. The Chief and I will be glad to answer any questions you might have.

ADDITIONAL COMMITTEE QUESTIONS

PAY PROPOSAL

Question. IF THE COMPRESSED PAY SCALE IS APPROVED, WILL EACH CURRENT OFFICER RECEIVE EQUAL INCREASES? IF NOT, HOW WILL INCREASES BE DISTRIBUTED AND HOW CAN SUCH UNEQUAL TREATMENT BE JUSTIFIED?

Answer. Each officer will not receive an equal increase because of longevity differences. If the compressed pay scale is adopted the increase will be determined by the years in service and rank, and will be equally distributed accordingly. After the initial adjustment, each officer will receive equal increments of $802 per year for the first 10 years and every other year there after until they reach the 14 year maximum.

Question. HAS AN ESTIMATE BEEN MADE AS TO THE FIVE YEAR COST OF THE COMPRESSED PAY SCALE?

Answer. Yes, the Congressional Budget Office has calculated the five year cost to be 17 million. However, it will cost approximately 9 million for the present system over the next 5 years, making the net cost 8 million, an average cost of approximately 1.6 million a year.

Question. WHAT IS YOUR CURRENT VACANCY RATE? HOW MANY CURRENT APPLICATIONS FOR POSITIONS DO YOU HAVE ON FILE?

Answer. As of April 2, 1990 we have 16 sworn positions vacant and 16 civilian positions vacant for a total of 32 vacancies.

As of April 1, 1990, we have 681 active applications on file and in process. However, this figure is not a true representation of the number of viable candidates for hire. Our selection process, approved by the Capitol Police Board in 1986 requires us to maintain applications on file for a period of two (2) years from the date of initiation. Therefore, approximately 91% of our applicant files are, at best, marginal candidates for appointment to the Police Force, due in part to insufficient background information, temporary disqualifiers, or other reasons that would deem them less than desirable for hire. Approximately 9%, or 59 applications, are currently under consideration and are being actively investigated and tested for appointment to the Force. It should be noted that the quantity of viable applicants for hire has been decreasing over the past year.

OVERTIME

YOU ARE REQUESTING AN INCREASE OF $166,000 FOR OVERTIME. LAST YEAR YOU REPORTED THAT SUBSTANTIAL REDUCTIONS HAD BEEN REALIZED THROUGH CLOSING ENTRANCES AND OTHER MEASURES.

Question. WHAT IS IN YOUR BASE FOR OVERTIME?

Answer. The base used was 100,000 hours and we utilized $23.00 as an average cost per overtime hour.

Question. HOW MANY HOURS OF OVERTIME ARE YOU BUDGETING FOR IN FISCAL 1991?

Answer. We are budgeting for 100,000 hours.

Question. HOW MANY HOURS OF OVERTIME DID YOU INCUR IN FISCAL 1989?

Answer. In FY89 we utilized 98,540 hours for pay, 68,825 hours for time, which totals to 167,365 hours.

Question. HOW MANY VACANCIES DO YOU HAVE CURRENTLY?

Answer. As of April 2, 1990, we currently have 16 sworn positions and 16 civilian positions vacant, and this is after we hired a new recruit class on March 19, 1990.

Question. HOW MANY OFFICERS DO YOU HAVE ON TERMINAL LEAVE AT THIS POINT? HOW MANY HOURS OF TERMINAL LEAVE HAVE YOU BEEN INCURRING IN THE LAST FIVE YEARS?

Answer. Since we do not have lump sum payment for terminal leave it is difficult to calculate the exact number of terminal leave hours used by our members. In most cases our members use a considerable amount of their accrued annual leave and compensatory time before they apply for terminal leave. We estimate that approximately 20,000 hours of leave are used by members each year who terminate.

Question. WHAT ARE THE MAJOR REASONS FOR OVERTIME?

Answer. See attachment titled Reasons for Overtime

REASONS FOR OVERTIME

Fiscal Years 1989

Reason	Hrs. Pay	Hrs. Comp	Tot Hrs.	Comment
Working Day Off	40,595	7,908	48,503	Shortage of personnel to cover assigned Posts.
Special Details	16,869	8,093	24,962	Protective details, V.I.P. Visits etc.
Special Events	20,544	8,345	28,889	Demonstrations, State of Union, Inauguration
Training		11,192	11,192	
Special Projects	4,874	4,989	9,863	
Administrative Duties	1,013	7,209	8,222	
Completion of Reports	3,038	3,848	6,886	Police Cases
Meetings/Hearings		2,031	2,031	Promotional processes, Disciplinary Boards
Court Time		1,435	1,435	
Ceremonial Detail	1,167	188	1,355	
Committees		142	142	Extra Security for Congressional Committee Hearings
Jury Duty		238	238	Officers are now placed on Admin Leave
Disciplinary		20	20	
Late Sessions	8,535	5,918	14,453	
Misc.	1,905	7,269	9,174	
TOTAL	98,540	68,825	167,365	

RENT, COMMUNICATIONS AND UTILITIES
RENTAL VEHICLES

YOU ARE ASKING FOR $114,630 FOR RENT, COMMUNICATION AND UTILITIES, AN INCREASE OF $11,959 OR 12 PERCENT. THE COSTS OF RENTAL VEHICLES ARE SUBSUMED IN THIS OBJECT CLASS.

Question. WHAT VEHICLE DO YOU INTEND TO RENT OR LEASE? WHY?

Answer. We intend to rent buses and/or vans which are needed during mass demonstrations to transport prisoners from the booking location to Central Cell Block. Some special events (i.e. Inaugurations require the rental of vehicles to transport officers).

Question. PROVIDE A LIST OF VEHICLES YOU HAVE RENTED OR LEASED FOR THE PERIOD FISCAL YEAR 1987 -1990 TO DATE, INCLUDING THE ANNUAL COST FOR EACH AND THE PURPOSE OR FUNCTION EACH SERVED.

Answer. In FY87 no vehicles were rented. In FY88 one vehicle was rented for a annual cost of $164.75, the vehicle was used for an administrative investigation. In FY89 five vehicles were rented on three separate occasions for an annual cost of $1975.70. The first instance we rented two buses ($902.00) as a result of the CCNV Demonstration to transport prisoners. The second occasion two buses ($882.00) were rented as a result of the Inauguration to transport officers. And the third instance, one automobile ($191.70) was rented for an investigation. To date in FY90, one automobile ($40.90) was rented for a tactical operation, and two buses (approx. $900.00) were rented for the mass arrest of the handicapped demonstrators.

RETIREMENT

THE RETIREMENT PROPOSAL APPEARS TO TREAT THOSE UNDER FERS AND CSRS DIFFERENTLY.

Question. WHY IS THIS THE CASE?

Answer. Beginning January 1, 1984 all newly hired federal employees automatically came under the new Federal Employees Retirement System. The law that placed them under this system made it mandatory, requiring each employee to pay into the FERS system as well as social security. The benefits derived from this system, upon retirement, include payments from FERS and Social Security. Those employees hired prior to January 1, 1984 come under the old Civil Service Retirement System. Under this system an employee pays 7.5% of his salary into CSRS. Upon retirement, his pension is paid by CSRS, but unless the individual had other employment outside of the

Federal Government, he is not eligible for Social Security benefits. The provision for law enforcement treatment under CSRS only allows retirement with an annuity upon completion of 20 years service and having attained 50 years of age.

Question. WHY SHOULD FERS EMPLOYEES BE PERMITTED TO RETIRE SOONER THAN CSRS EMPLOYEES?

Answer. The law enforcement officer provision for retirement is structured in such a manner to preclude all but certain individuals from eligibility. Under FERS, this restrictive structure was further tightened to ensure that individuals becoming eligible to retire had served a significant portion of their career in non-management positions. The law authorizing FERS stipulated that an individual would become eligible for an annuity upon completing 20 years of service and attaining 50 years of age or upon completing 25 years of service regardless of age. This provision was not made available in the law covering CSRS. Retirement with an annuity under CSRS for law enforcement treatment is available only upon completion of 20 years service and having attained 50 years of age.

Answer. YOU ALSO PROPOSE A MANDATORY RETIREMENT AGE OF 55.

Question. WHAT IS THE JUSTIFICATION FOR THIS PROVISION?

Answer. The law enforcement officer provision is structured in such a way to allow members that fit the definition within the law to retire sooner than other federal government employees. The understanding for this provision is due to the nature of work involved which would require a "young and vigorous" force of individuals. In adopting this provision for Capitol Police members, we are stating we need to keep our force sufficiently young and vigorous to ensure that the mission of the department can be adequately met.

Question. HOW MANY OF YOUR CURRENT FORCE ARE 50 YEARS OF AGE OR OLDER?

Answer. Currently, 285 members are 50 years of age or more. Of these members 76 have 20 or more years of service as of this date.

Question. HOW MUCH WOULD THESE CHANGES IN RETIREMENT COST ON AN ANNUAL BASIS?THE RETIREMENT PROPOSAL APPEARS TO TREAT THOSE UNDER FERS AND CSRS DIFFERENTLY.

Answer. The entire cost of retirement would be borne by the respective retirement system. The Capitol

Police have no mechanism to determine the cost, however, the Congressional Budget Office has estimated the cost to be approximately $11 million more in outlay for the period 1991--1995 under the proposed retirement treatment.

COMPENSATION AND BENEFITS

YOU ARE REQUESTING A TOTAL OF $61,812,000 FOR PERSONNEL COMPENSATION AND BENEFITS, AN INCREASE OF $7,156,000 OR ALMOST 14 PERCENT. OF THIS AMOUNT, $1,675,000 IS FOR THE FY90 COLA; $650,000 IS FOR THE FY91 COLA; AND $1,017,000 IS TO RESTORE THE SEQUESTER AND DRUG RELATED REDUCTION OF LAST YEAR.

Question. HOW MUCH DO YOU HAVE BUDGETED FOR THE '90 COLA IN THIS FISCAL YEAR?

Answer. We have budgeted in FY91, $1,675,000 for the annulization of the FY90 COLA.

Question. HOW MANY MONTHS DOES THE $650,000 BUDGETED FOR THE FY91 COLA COVER?

Answer. This figure represent 50% of the OMB recommended 3.5% FY91 COLA and is estimated for 9 months.

Question. WHAT IMPACT DID THE "PUBLIC LAW" REDUCTION HAVE ON CAPITOL POLICE OPERATIONS?

Answer. The reductions have place in doubt our remaining recruit classes, and our terminal leave lump sum payment program.

Due to the Sequestration, certain funds had to be set aside in our appropriation. To meet this sequestration, funds that had been dedicated for lump sum terminal leave and Special Duty pay for CERT members were sequestered. These funds account for approximately half of the total amount needed. The remainder of the funds were sequestered from the general salary expense of the Capitol Police. To meet the imposed spending level, a post priority system was developed. This system established a post priority for all assignments based upon criticality, sensitivity, location and security threat level. It is the goal and intention of the Capitol Police to fulfill all assignments; however, due to personnel shortages, posts will be filled in compliance with this post priority system.

The Capitol Police depend on full staffing to provide all the requests for services and post assignments. Whenever vacancies occur there is a personnel shortage and some posts are not covered. This causes us great concern because a post must be left vacant or a request for service must be denied. Our personnel are shifted about to ensure maximum coverage with the officers that are available. As vacancies are filled with new recruits, and each recruit completes the necessary training, post assignments are evaluated to ensure coverage.

COMPARABILITY WITH OTHER POLICE FORCES

YOU SUGGEST THAT THE CAPITOL POLICE ATTRITION RATE IS LARGELY ATTRIBUTABLE TO OFFICERS LEAVING THE CAPITOL POLICE FORCE FOR POLICE DEPARTMENTS IN SURROUNDING JURISDICTIONS BECAUSE THE PAY AND BENEFITS ARE BETTER.

Question. WHAT IS THE BASIS FOR THIS CONCLUSION?

Answer. Upon termination, each officer is requested to participate in an exit survey, at which time they are asked, why are you leaving Capitol Police employment. Our figures based on these exit surveys suggest that the primary reason for termination is to seek other law enforcement employment, which provides better pay and benefits packages.

Over the last 5 years, we had 530 resignations. Of that 530, 271 had under 5 years service, and approximately half left for other law enforcement employment.

Question. HOW MANY FORMER CAPITOL POLICE OFFICERS ARE THERE ON THE POLICE FORCES OF THE DISTRICT AND SURROUNDING JURISDICTIONS?

Answer. The number of Capitol Police who left for employment with other jurisdictions in the surrounding areas during the period 1985 - present is represented as follows:

	1985	1986	1987	1988	1989	1990	TOTAL
RESIGN	68	63	22	39	44	13	249
OTHER L/E POS:	23	26	12	30	24	10	125
LOSS TO OTHER AGENCIES:	34%	41%	55%	77%	55%	77%	50%

Question. ARE THERE ANY OFFICERS ON THE CAPITOL POLICE FORCE WHO CAME FROM OTHER JURISDICTIONS OR AGENCIES?

Answer. Capitol Police who left other sworn positions with law enforcement agencies and are currently employed here is represented as follows, using the same time period. Note: Prior military police, FBI non-sworn, or non-patrol type positions were not classified within these parameters. Only those personnel who were active, sworn, police officers are included.

	1985	1986	1987	1988	1989	1990	TOTAL
HIRED	97	98	126	89	90	34	534
PRIOR EXPER.	6	7	10	11	12	5	51
%	6%	7%	8%	12%	13%	15%	10%

*NOTE: From 1985 to date, we hired 534 officers, 51 of whom had prior police experience for a total of 10%. For the same time period, our Police Force lost 249 officers to other employment, with 125 of those going to other police agencies for a total of 50%.

CAPITAL ASSETS

YOU ARE ASKING $482,781 FOR CAPITAL ASSETS, AN INCREASE OF $62,646 OR 15 PERCENT. YOU INDICATE THAT THE INCREASE IS TO COVER COSTS OR "VEHICLE REPLACEMENT, VIDEO VENDING EQUIPMENT AND WEAPONS."

Question. WHAT VEHICLES ARE YOU PLANNING TO REPLACE? PLEASE PROVIDE A VEHICLE INVENTORY AND YOUR SCHEDULE FOR REPLACEMENT OF YOUR VEHICLES BY TYPE I.E., MOTORCYCLES, AUTOMOBILES, VANS, ETC.

Answer. The following chart provides the type of vehicle and the number of those vehicles in the Capitol Police Fleet.

	# of VEHICLES	TYPE OF VEHICLES
	1	RAM CHARGER
	4	SUBURBAN
	1	BUS
	4	BLAZER
	2	TRAILER
	4	TRUCK
	5	STATION WAGON
	6	SPECIALIZED
	11	VAN
	44	SEDAN
	51	MOTORCYCLE
TOTAL	133	(3 LESS FY89)

The following vehicles have been singled out for the next trade. This could change due to un-foreseen accidents or other complications. At the time of trade these vehicles will have an excessive amount of vehicle mileage, or a history of vehicle repairs that are cost prohibitve. The vehicles in each category are listed in the priority order.

SEDANS

1. 88-6 CHEVY SEDAN MARKED WHITE
2. 86-2 CHEVY SEDAN UNMARKED YELLOW/BEIGE
3. 86-3 CHEVY SEDAN UNMARKED LT/MAROON

4. 86-4 CHEVY SEDAN UNMARKED LT/BLUE
5. 86-5 CHEVY SEDAN UNMARKED DARK/BLUE
6. 87-1 CHEVY SEDAN UNMARKED DARK/BLUE
7. 87-2 CHEVY SEDAN UNMARKED BLACK
8. 87-3 CHEVY SEDAN UNMARKED LT/BLUE
9. 87-8 CHEVY SEDAN UNMARKED LT/BROWN
10.87-9 CHEVY SEDAN UNMARKED LT/BROWN

STATION WAGONS

1. 82-1 CHEVY STA/WGN MARKED WHITE
2. 84-4 CHEVY STA/WGN MARKED WHITE

VANS

1. 87-4 CHEVY ASTRO VAN MARKED WHITE
2. 81-1 CHEVY VAN UNMARKED WHITE

PICKUP TRUCKS

1. 84-3 FORD P/U UNMARKED BEIGE

SUBURBAN

1. 85-6 CHEVY SUBURBAN UNMARKED RED/BEIGE
2. 88-2 CHEVY SUBURBAN UNMARKED BLUE

TRUCK

1. 59-1 INTERNATIONAL MARKED BLUE/WHITE

MOTORCYCLES

1. 32-81 HONDA 200CC TWIN STAR
2. 15-81 HONDA 200CC TWIN STAR
3. 11-81 HONDA 200CC TWIN STAR
4. 10-82 HONDA 200CC TWIN STAR
5. 16-81 HONDA 200CC TWIN STAR
6. 1-82 HONDA 200CC TWIN STAR

Question. WHAT WEAPONS DO YOU INTEND TO REPLACE? PROVIDE AN INVENTORY AND REPLACEMENT SCHEDULE OF YOUR WEAPONS.

Answer. Generally, the Capitol Police issue two different types of sidearms: the Smith & Wesson .38 caliber revolver and the Smith & Wesson 9mm semi-automatic pistol. Currently, 1,183 .38 caliber revolvers and 181 9mm pistols are issued or in stock (a number of spare weapons must be maintained in the event of weapon breakdown).

For several years, we have been in the process of replacing all old revolvers with new, better ones made of stainless steel. To date, all but 13% (159) of the revolvers have been so replaced. For FY 91, it was originally our intention to replace an additional 100 revolvers (at approximately $200 per revolver). We are also in the process of issuing 9mm semi-automatic pistols to personnel assigned to certain elements within the organization. At an estimated cost of about $325 per pistol, we had anticipated purchasing an additional 50 semi-automatics in FY91.

Since the budget request was initially submitted, it has been decided to ultimately equip each Capitol Police officer with a 9mm semi-automatic pistol instead of the .38 caliber revolver. Therefore, it would not be fiscally sound to move forward with the revolver replacement plan. Instead, we propose to use the entire line item to purchase between 90 and 100 new 9mm pistols. (The estimated purchase price has now risen to approximately $385 per pistol. However, a revolver trade-in allowance of up to $85 per weapon may be allowed, decreasing the per pistol cost to approximately $300.)

All Protective Services Bureau personnel and a portion of Patrol Division officers have already been issued 9mm pistols. The purchase plan outlined above would allow us to issue 9mm pistols to the remainder of the Patrol Division and to most First Responder personnel. In future years, the remainder of the organization would be so equipped.

Question. WHAT VIDEO RECORDING EQUIPMENT DO YOU PLAN TO PROCURE? WHY?

Answer. In Fiscal Year 1991, we intend to purchase a JVC BR-S611U Player/Recorder (source machine in the editing system), a JVC BR-S811U Editor/Recorder (editing machine in the system), cables for both, and, if funds allow, two Super VHS monitors.

In an effort to improve the end quality of Departmental productions, a limited acquisition of Super-VHS capable equipment has been undertaken over a period of time. This was initially an experimental process as needed replacements for unserviceable items then in stock. The costs of Super-VHS production and distribution equipment are relatively close to those for VHS while offering the capability of a superior end product. The acquisition and costs associated with this Super-VHS transition have been and are to be spread out over a period of several years allowing for less expenditures on an annual basis. If a decision is reached to continue this transition, then production costs (labor, materials and equipment) can be maintained (or even lessened), while the quality and number of productions can be increased.

When current productions are filmed we must use a camera, portable recorder, and sound equipment - a two man operation. This equipment is heavy, expensive, and complicated to set up, but can be replaced by a single Super-VHS camcorder. It is not likely that new technology will be developed to significantly offer any further overall cost reductions or product quality over Super-VHS.

As an example, standard VHS recorders, including those designed for professional use, can only deliver

230 lines of horizontal resolution. Although we have the current capability of filming and editing close to 600 lines of resolution, our distribution system limits the ultimate quality of our productions (no matter what the original production is mastered on, VHS can only deliver 230 lines of resolution when that master is copied). Super-VHS delivers 400 plus lines of resolution throughout the process, therefore improving quality, cutting production time, and reducing overall production costs. Finally, all of the professional productions we have purchased in the VHS format can be used with this equipment.

Question. PROVIDE A LIST OF PROCUREMENTS UNDER THIS OBJECT CLASS FOR FISCAL YEARS 1987-1990 TO DATE.

Answer. The Capitol Police use two of the three following criteria to classify an item or group of items as a capital asset:

- Cost of $100 or more
- Possesses serial number
- Expected life of 1 year or longer

Therefore all capital assets have been grouped into the following categories by fiscal year:

1987

Audio-Visual Equipment	19,792.45
Communications Equipment	144,795.48
Drunk Driving Interdiction Program Equipment	2,560.00
Emergency Vehicle Equipment	5,529.92
K-9's, K-9 Training Equipment and Kennels	5,972.00
LEXIS/NEXIS Equipment	1,600.00
Photographic Equipment	10,342.65
Plate Maker for USCP Print Shop	9,975.00
Polygraph Equipment	5,583.75
Replacement Vehicles	190,185.29
Replacement Weapons and associated equipment	30,750.16
Special Equip. Containers & Lockers	5,569.45
Security Equipment & Hand Held Metal Detectors	19,840.21
Training Equipment for CPR	628.00
Vehicle Maintenance Equipment	22,021.09

1988

Audio-Visual Equipment	23,114.59
Communications Equipment	125,185.14
Emergency Vehicle Equipment	4,984.72
Explosive Security Container	2,698.24

Fingerprint and Crime Scene Search Equipment	554.48
Fitness Equipment	46,162.60
K-9's, K-9 Training Equipment and Kennels	33,315.90
Photographic Equipment	22,933.06
Replacement Vehicles	165,817.37
Replacement Weapons and associated equipment	22,391.40
Special Equip. Containers & Lockers	2,664.01
Security Equipment & Hand Held Metal Detectors	12,429.85
Training Automatic Test Scoring Machine	1,708.94
Vehicle Maintenance Equipment	4,227.95
WALES Equipment	17,732.60

1989

Audio-Visual Equipment	20,006.73
Civil Disturbance Unit Equipment	3,145.01
Communications Equipment	122,506.38
Drunk Driving Interdiction Program Equipment	6,959.76
Emergency Vehicle Equipment	10,348.94
Fitness Equipment	6,988.00
K-9's, K-9 Training Equipment and Kennels	17,692.40
Photographic Equipment	30,070.01
Replacement Vehicles	187,237.14
Replacement Weapons and associated equipment	32,433.60
Security Equipment & Hand Held Metal Detectors	31,915.74
Special Equip. Containers & Lockers	2,414.60
Special Equipment for Off-Site Delivery Ctr.	5,449.46
Vehicle Maintenance Equipment	7,796.48
WALES Equipment	9,689.00

1990 to March 30, 1990

Audio-Visual Equipment	4,951.75
Communications Equipment	28,532.50
Emergency Vehicle Equipment	4,243.34
K-9's, K-9 Training Equipment and Kennels	195.00
Photographic Equipment	12,956.88
Replacement Vehicles	177,906.49
Replacement Weapons and associated equipment	22,563.69
Security Equipment	794.79

OTHER SERVICES

YOU ARE REQUESTING $336,063 FOR "OTHER SERVICES", AN INCREASE OF $33,023 OR 11 PERCENT.

Question. HOW MUCH IS BUDGETED FOR TUITION AND FEES FOR "TRAINING PROGRAMS, CONFERENCES, SEMINARS, ETC."

Answer. In FY91 we have budgeted $63,963 for tuition and fees for training programs, conferences, seminars. This represents an increase of $2,206 over the FY90 request.

Question. PLEASE PROVIDE FOR THE RECORD A LISTING OF ALL TRAINING PROGRAMS, CONFERENCES, AND SEMINARS ATTENDED BY USCP PERSONNEL IN FISCAL 1989; INCLUDING THE PURPOSE AND LOCATION OF SUCH ACTIVITIES, THE NAMES OF THE PERSONS ATTENDING, THE RELEVANT FEES AND CHARGES, AND OTHER TRAVEL COSTS INCURRED BY ATTENDEES.

Answer. See attachment titled FY89 TRAINING EXPENSES

5/03/90 ASB Training Report

Paul L. Lund	Police Fleet Management School			
Jacksonville, Fl	10/23/88	10/28/88	279.00	Airfare
Jacksonville, Fl	10/23/88	10/28/88	281.15	Actual Expens
Jacksonville, Fl	10/23/88	10/28/88	375.00	Tuition
			935.15	

Johnnie R. Gross	UFO-Cobol International Group Users Seminar			
New Orleans, LA	10/23/88	10/26/88	233.79	Actual Expens
New Orleans, LA	10/23/88	10/26/88	250.00	Tuition
New Orleans, LA	10/23/88	10/26/88	266.00	Airfare
			749.79	

Thomas Fleming	UFO-Cobol International Group Users Seminar			
New Orleans, LA	10/23/88	10/26/88	250.00	Tuition
New Orleans, LA	10/23/88	10/26/88	262.79	Actual Expens
New Orleans, LA	10/23/88	10/26/88	336.00	Airfare
			848.79	

Johnnie R. Gross	GSA Small Purchases Seminar			
Atlanta, GA	11/27/88	12/02/88	275.00	Tuition
Atlanta, GA	11/27/88	12/02/88	328.08	Actual Expens
			603.08	

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Michael D. Marshall    GSA Small Purchases Seminar
-------------------    -------------------------------------------
Atlanta, GA            11/27/88  12/02/88      275.00   Tuition
Atlanta, GA            11/27/88  12/02/88      532.87   Act. Exp. & V
                                             ---------
                                               807.87


Graal C. Porelle       Primos Systems Administrator Course
-------------------    -------------------------------------------
Boston, MA              4/09/89   4/21/89        0.00   Tuition
Boston, MA              4/09/89   4/21/89      168.00   Airfare
Boston, MA              4/09/89   4/21/89    1,095.39   Actual Expens


Graal C. Porelle       Primos Systems Administrator Course
-------------------    -------------------------------------------
                                             ---------
                                             1,263.39


Donald L. Flanders     ADABAS Computer School
-------------------    -------------------------------------------
Reston, VA              3/13/89   3/17/89    1,250.00   Tuition
                                             ---------
                                             1,250.00


Douglas W. Pippin      UFO Productions Program Workshop
-------------------    -------------------------------------------
Chicago, IL             5/14/89   5/18/89        0.00   Tuition
Chicago, IL             5/14/89   5/18/89      358.00   Airfare
Chicago, IL             5/14/89   5/18/89      429.97   Actual Expens
                                             ---------
                                               787.97


Kevin D. Collins       Prime Users Group Conference
-------------------    -------------------------------------------
Anaheim, CA             6/11/89   6/16/89      407.00   Airfare
Anaheim, CA             6/11/89   6/16/89      450.00   Tuition
Anaheim, CA             6/11/89   6/16/89      479.50   Actual Expens
                                             ---------
                                             1,336.50


Franklin C. Shelton    Prime Users Group Conference
-------------------    -------------------------------------------
Anaheim, CA             6/11/89   6/16/89      407.00   Airfare
Anaheim, CA             6/11/89   6/16/89      457.01   Actual Expens
Anaheim, CA             6/11/89   6/16/89      475.00   Tuition
                                             ---------
                                             1,339.01
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Robert Hirschberg	Bear Automotive Training TEPO 2			
Hanover, MD	5/18/89	5/19/89	150.00	Tuition
			150.00	

William Peed	Bear Automotive Training TEPO 2			
Hanover, MD	5/18/89	5/19/89	150.00	Tuition
			150.00	

Patrick D. Creegan	Prime System Administrator Course			
Boston, MA	9/24/89	10/06/89	0.00	Tuition
Boston, MA	9/24/89	10/06/89	229.68	Travel-POV
Boston, MA	9/24/89	10/06/89	869.75	Actual Expens
			1,099.43	

Paul L. Lund	Evaluation Police Vehicle Seminar			
Lansing, MI	9/15/89	9/19/89	25.00	Tuition
Lansing, MI	9/15/89	9/19/89	224.52	Actual Expens
Lansing, MI	9/15/89	9/19/89	446.00	Airfare
			695.52	

Thomas Fleming	UFO Computer Class			
Baltimore, MD	9/18/89	9/20/89	0.00	Tuition
Baltimore, MD	9/18/89	9/20/89	22.50	Parking Fees
			22.50	

Leon M. Shiner	G.E. Portable Radio School			
Lynchburg, VA	9/17/89	9/22/89	0.00	Tuition
Lynchburg, VA	9/17/89	9/22/89	276.22	Actual Expens
			276.22	

Jeffrey Wilson	G.E. Portable Radio School			
Lynchburg, VA	9/17/89	9/22/89	0.00	Tuition
Lynchburg, VA	9/17/89	9/22/89	284.52	Actual Expens
			284.52	

Steve Schnaubelt	G.E. Portable Radio School			
Lynchburg, VA	9/17/89	9/22/89	0.00	Tuition
Lynchburg, VA	9/17/89	9/22/89	254.34	Actual Expens
			254.34	

ASB Total Travel Expenses: 12,854.08

COP Training Report

Harry B. Grevey	IACP Conference			
Portland, OR	10/19/88		55.00	Banquet
Portland, OR	10/15/88	10/20/88	125.00	Tuition
Portland, OR	10/14/88	10/20/88	292.58	Actual Exp
Portland, OR	10/14/88	10/20/88	388.00	Airfare
			860.58	

Frank A. Kerrigan	IACP Conference			
Portland, OR	10/19/88		55.00	Banquet
Portland, OR	10/15/88	10/20/88	125.00	Tuition
Portland, OR	10/14/88	10/20/88	388.00	Airfare
Portland, OR	10/14/88	10/20/88	524.71	Actual Exp
			1,092.71	

Marsha E. Krug	10th Annual Hostage Negotiation Seminar			
Baltimore, MD	2/21/89	2/22/89	50.00	Tuition
			50.00	

George B. Hawco	10th Annual Hostage Negotiation Seminar			
Baltimore, MD	2/21/89	2/22/89	50.00	Tuition
			50.00	

Floyd K. Mucker	10th Annual Hostage Negotiation Seminar			
Baltimore, MD	2/21/89	2/22/89	50.00	Tuition
			50.00	

Richard Lopez	10th Annual Hostage Negotiation Seminar			
Baltimore, MD	2/21/89	2/22/89	50.00	Tuition
			50.00	

Ellen F. Howard	10th Annual Hostage Negotiation Seminar			
Baltimore, MD	2/21/89	2/22/89	50.00	Tuition
			50.00	

Richard E. Wolford	10th Annual Hostage Negotiation Seminar			
Baltimore, MD	2/21/89	2/22/89	50.00	Tuition
			50.00	

Thomas W. Jewell	10th Annual Hostage Negotiation Seminar			
Baltimore, MD	2/21/89	2/22/89	50.00	Tuition
			50.00	

Richard W. Micer	Internal Affairs/Corruption Investigations			
Wilmington, DE	12/11/88	12/16/88	415.27	Actual Expens
Wilmington, DE	12/12/88	12/16/88	495.00	Tuition
			910.27	

Frank A. Kerrigan	Special Problems in Police Internal Affairs			
Orlando, FL	4/14/89	4/20/89	240.00	Airfare
Orlando, FL	4/17/89	4/19/89	325.00	Tuition
Orlando, FL	4/16/89	4/19/89	357.19	Actual Expens
			922.19	

Michael E. Hupp	Special Problems in Police Internal Affairs			
Orlando, FL	4/14/89	4/20/89	240.00	Airfare
Orlando, FL	4/16/89	4/19/89	250.48	Actual Expens
Orlando, FL	4/17/89	4/19/89	325.00	Tuition
			815.48	

Joseph M. De Palma	Eval. & Reporting on Internal Control Syste			
Washington, DC	3/20/89	3/22/89	225.00	Tuition
			225.00	

Vicki L. D. Frye	American Assoc. of Police Polygraphists Ann			
Las Vegas, NV	6/25/89	6/30/89	150.00	Tuition
Las Vegas, NV	6/25/89	6/30/89	198.00	Airfare
Las Vegas, NV	6/25/89	6/30/89	499.44	Actual Expens
			847.44	

Richard E. Wolford	Advance Hostage Negotiations Seminar			
Jacksonville, Fl	6/11/89	6/16/89	301.00	Airfare
Jacksonville, Fl	6/11/89	6/16/89	313.55	Actual Expens
Jacksonville, Fl	6/11/89	6/16/89	375.00	Tuition
			989.55	

Ellen F. Howard	Advance Hostage Negotiations Seminar			
Jacksonville, FL	6/11/89	6/16/89	300.32	Actual Expens
Jacksonville, FL	6/11/89	6/16/89	301.00	Airfare
Jacksonville, FL	6/11/89	6/16/89	375.00	Tuition
			976.32	

Joseph M. Alukonis	Emerging Trends in First Amendment Seminar			
Richmond, VA	6/15/89	6/15/89	60.00	Tuition
			60.00	

Debra A. Descoteaux	Police Internal Affairs Seminar			
Jacksonville, FL	9/25/89	9/29/89	198.00	Airfare
Jacksonville, FL	9/25/89	9/29/89	254.37	Actual Expens
Jacksonville, FL	9/26/89	9/29/89	350.00	Tuition

Debra A. Descoteaux	Police Internal Affairs Seminar			
			802.37	

Terry A. Coward	Police Internal Affairs Seminar			
Jacksonville, FL	9/25/89	9/29/89	198.00	Airfare
Jacksonville, FL	9/25/89	9/29/89	295.90	Actual Expens
Jacksonville, FL	9/26/89	9/29/89	350.00	Tuition
			843.90	

John T. Caulfield	Government Legal Education Training			
Arlington, VA	11/20/88	12/09/88	515.00	Tuition
			515.00	

Richard W. Micer	The Reid Technique of Interviewing & Interr			
Washington, DC	8/07/89	8/09/89	495.00	Tuition
			495.00	

Joseph M. De Palma	The Reid Technique of Interviewing & Interr			
Washington, DC	8/07/89	8/09/89	495.00	Tuition
			495.00	

Michael E. Hupp	Understanding Body Movement in Interview/In			
Ocean City, MD	7/18/89	7/21/89	78.67	Mileage
Ocean City, MD	7/19/89	7/21/89	250.00	Tuition
Ocean City, MD	7/18/89	7/21/89	424.00	Actual Expens
			752.67	

Thomas J. Reynolds	Understanding Body Movement in Interview/In			
Ocean City, MD	7/19/89	7/21/89	250.00	Tuition
Ocean City, MD	7/18/89	7/21/89	311.76	Actual Expens
			561.76	

Debra A. Descoteaux	Understanding Body Movement in Interview/In			
Ocean City, MD	7/18/89	7/21/89	78.67	Mileage
Ocean City, MD	7/19/89	7/21/89	250.00	Tuition
Ocean City, MD	7/18/89	7/21/89	382.80	Actual Expens
			711.47	

Thomas G. O'Brien	Understanding Body Movement in Interview/In			
Ocean City, MD	7/18/89	7/21/89	78.67	Mileage
Ocean City, MD	7/19/89	7/21/89	250.00	Tuition
Ocean City, MD	7/18/89	7/21/89	376.80	Actual Expens
			705.47	

Joseph M. Alukonis	Continuing Legal Education Training			
Glyco, GA	9/17/89	9/22/89	109.00	Tuition
			109.00	

Vicki L. D. Frye	Polygraph School			
Ft. McClellan, AL	11/01/88	11/22/88	1,100.00	Per Diem
Ft. McClellan, AL	10/01/88	10/31/88	1,550.00	Per Diem
			2,650.00	

Gregory R. Hetrick	Criminal Investigator's School			
Glynco, GA	1/04/88	3/02/88	713.27	Per Diem & Mi
			713.27	

Thomas L. Smith	Criminal Investigator's School			
Glynco, GA	1/31/88	3/28/88	709.27	Per Diem & Mi
			709.27	

COP Total Travel Expenses: 18,113.72

EDB Training Report

Class #82 Recruits	Recruit Training			
Glynco, GA	10/18/88	12/14/88	0.00	Tuition
Glynco, GA	10/18/88	12/14/88	210.00	Airfare
Glynco, GA	10/18/88	12/14/88	15,997.67	Travel-POV &
			16,207.67	

Dr. Terry Eisenberg	IACP Conference			
Portland, OR	10/15/88	10/19/89	150.00	Tuition
Portland, OR	10/15/88	10/19/89	423.00	Airfare
Portland, OR	10/15/88	10/19/89	438.20	Actual Expens
			1,011.20	

Beverly A. Orem — **Basic Instructor Training**

Glynco, GA	12/04/88	12/16/88	0.00	Tuition
Glynco, GA	12/04/88	12/16/88	52.00	H&C Per Diem
Glynco, GA	12/04/88	12/16/88	210.00	Airfare
Glynco, GA	12/04/88	12/16/88	252.00	Accomodations
			514.00	

Joseph Palmer — **Chemicals Munitions Seminar**

Hunt Valley, MD	3/14/89	3/16/89	300.00	Tuition
			300.00	

David Pasierb — **Driver Training School**

Glynco, GA	12/11/88	12/22/88	48.00	H&C Per Diem
Glynco, GA	12/11/88	12/22/88	210.00	Airfare
Glynco, GA	12/11/88	12/22/88	467.00	Accomodations
Glynco, GA	12/11/88	12/22/88	719.00	Tuition
			1,444.00	

Class #83 Recruits — **Recruit Training**

Glynco, GA	2/15/89	4/12/89	0.00	Tuition
Glynco, GA	2/15/89	4/12/89	1,024.00	Airfare
Glynco, GA	2/15/89	4/12/89	13,818.32	Travel-POV &
			14,842.32	

Daryl M. Fravel — **Advanced L.E. Photo School**

Glynco, GA	1/31/89	2/09/89	0.00	Tuition
Glynco, GA	1/31/89	2/09/89	319.77	Travel-POV
Glynco, GA	1/31/89	2/09/89	478.00	Accomodations
			797.77	

Dennis H. Gamble — **Recruit Training (Class #84)**

Glynco, GA	5/16/89	5/17/89	43.03	
			43.03	

Dennis H. Gamble — **Recruit Training (Class #84)**

Glynco, GA	5/16/89	5/17/89	43.03	Enroute Expen
			43.03	

William Rayle	Recruit Training (Class #84)			
Glynco, GA	5/16/89		24.45	Enroute Expen
			24.45	

Robert A. Fountain	Recruit Training (Class #84)			
Glynco, GA	5/17/89		32.41	Enroute Expen
			32.41	

Edward L. Lardner	Recruit Training			
Glynco, GA	5/17/89		18.20	Enroute Expen
			18.20	

Laverne M. Johnson	Officer Survival Training			
Glynco, GA	3/29/89	3/31/89	0.00	Tuition
Glynco, GA	3/29/89	3/31/89	22.00	Accomodations
Glynco, GA	3/29/89	3/31/89	40.00	Per Diem
Glynco, GA	3/29/89	3/31/89	256.00	Airfare
			318.00	

Hugh J. Breslin	Officer Survival Training			
Glynco, GA	3/29/89	3/31/89	0.00	Tuition
Glynco, GA	3/29/89	3/31/89	22.00	Accomodations
Glynco, GA	3/29/89	3/31/89	40.00	Per Diem
Glynco, GA	3/29/89	3/31/89	256.00	Airfare
			318.00	

John E. Euill, II	Advanced Interview Training			
Glynco, GA	5/15/89	5/19/89	0.00	Tuition
Glynco, GA	5/15/89	5/19/89	20.00	Per Diem
Glynco, GA	5/15/89	5/19/89	166.00	Accomodations
Glynco, GA	5/15/89	5/19/89	256.00	Airfare
			442.00	

Gregory Hetrick	Criminal Investigations School			
Glynco, GA	1/30/89	3/23/89	0.00	Tuition
Glynco, GA	1/30/89	3/23/89	798.00	Accomodations
			798.00	

Thomas A. Smith	**Criminal Investigations School**			
Glynco, GA	1/30/89	3/23/89	0.00	Tuition
Glynco, GA	1/30/89	3/23/89	798.00	Accomodations
			798.00	

Mark E. Hood	**Basic Instructor School**			
Glynco, GA	7/10/89	7/21/89	0.00	Tuition
Glynco, GA	7/10/89	7/21/89	252.00	Accomodations
Glynco, GA	7/10/89	7/21/89	389.09	Travel-POV &
			641.09	

Karen L. Luteran	**Criminal Investigations School**			
Glynco, GA	8/08/89	10/03/89	0.00	Tuition
Glynco, GA	8/08/89	10/03/89	569.09	Travel-POV &
			569.09	

Class #85 Recruits	**Recruit Training**			
Glynco, GA	8/04/89	9/29/89	8,881.08	Travel-POV &
			8,881.08	

Dujuan R. Malachi	**Recruit Training (Class #85)**			
Glynco, GA	8/28/89		201.00	One-Way Train
			201.00	

David S. Reynolds	**Recruit Training (Class #85)**			
Glynco, GA	8/02/89		60.34	Enroute Expen
			60.34	

Kevin Davis	**Recruit Training (Class #85)**			
Glynco, GA	8/02/89	9/30/90	98.50	Enroute Expen
			98.50	

Hugh J. Breslin	Basic Instructor Training			
Glynco, GA	9/09/89	9/23/89	73.09	Enroute Expen
Glynco, GA	9/11/89	9/22/89	216.00	Tuition
Glynco, GA	9/11/89	9/22/89	389.09	Travel-POV &
			678.18	

Ellen Yates	Fitness in Business Conference			
Phoenix, AZ	9/13/89	9/16/89	274.56	Actual Expens
Phoenix, AZ	9/13/89	9/16/89	294.00	Airfare
Phoenix, AZ	9/13/89	9/16/89	400.00	Tuition
			968.56	

William H. Emory	American for Effective Law Enforcement Conf			
Las Vegas, NV	9/24/89	9/27/89	263.97	Actual Expens
Las Vegas, NV	9/24/89	9/27/89	344.00	Airfare
Las Vegas, NV	9/24/89	9/27/89	488.00	Tuition
			1,095.97	

Joseph Alukonis	Continuing Legal Education			
Jacksonville, FL	9/16/89	9/26/89	0.00	Tuition
Jacksonville, FL	9/16/89	9/26/89	197.00	Airfare
			197.00	

PSB Personnel (23)	Interviewing Mentally Ill - Seminar			
Washington, DC	4/26/89		450.00	Tuition
			450.00	

Lisa Lambert	Recruit Trainin (Class #85)			
Glynco, GA	8/02/89	9/30/89	49.36	Enroute Expen
			49.36	

Training Personnel	Street Survival Seminar			
Washington, DC	6/24/89	6/26/89	625.00	Tuition
			625.00	

PSB Personnel (23)	Communicating Stressful Situations Seminar			
Washington, DC	4/26/89		800.00	Tuition
			800.00	

James P. Rohan	AELE/Police Liability, Policy & Practices S			
Orlando, FL	3/19/89	3/22/89	358.55	Actual Expens
Orlando, FL	3/19/89	3/22/89	369.00	Airfare
Orlando, FL	3/19/89	3/22/89	470.00	Tuition
			1,197.55	

Douglas L. Shugars	White Collar Crime School			
Glynco, GA	3/06/89	3/17/89	0.00	Tuition
Glynco, GA	3/06/89	3/17/89	48.00	H&C Per Diem
Glynco, GA	3/06/89	3/17/89	319.77	Travel-POV
Glynco, GA	3/06/89	3/17/89	330.00	Accomodations
			697.77	

Aloysius D. Ammann	Criminal Investigation School			
Glynco, GA	4/10/89	6/05/89	569.09	Travel-POV &
			569.09	

Nancy B. Yount	White Collar Crime School			
Glynco, GA	5/08/89	5/19/89	0.00	Tuition
Glynco, GA	5/08/89	5/19/89	48.00	H&C Per Diem
Glynco, GA	5/08/89	5/19/89	256.00	Airfare
Glynco, GA	5/08/89	5/19/89	330.00	Accomodations
			634.00	

Mark M. Digeronimo	Physical Fitness Course			
Dallas, TX	3/12/89	3/18/89	422.00	Airfare
Dallas, TX	3/12/89	3/18/89	525.00	Tuition
Dallas, TX	3/12/89	3/18/89	653.74	Actual Expens
			1,600.74	

Dr. Terry Eisenberg	Curriculum Conference			
Glynco, GA	3/20/89	3/23/89	0.00	Tuition
Glynco, GA	3/20/89	3/23/89	208.46	Actual Expens
Glynco, GA	3/20/89	3/23/89	324.00	Airfare
			532.46	

Stephen W. Ring	Curriculum Conference			
Glynco, GA	3/20/89	3/23/89	0.00	Tuition
Glynco, GA	3/20/89	3/23/89	182.30	Actual Expens
Glynco, GA	3/20/89	3/23/89	324.00	Airfare
			506.30	

Mark Digeronimo	Physical Fitness & Coordination Training			
Glynco, GA	4/24/89	5/05/89	0.00	Tuition
Glynco, GA	4/24/89	5/05/89	109.35	Actual Expens
Glynco, GA	4/24/89	5/05/89	283.00	Accomodations
Glynco, GA	4/24/89	5/05/89	389.04	Travel-POV &
			781.39	

Dr. Terry Eisenberg	Police discipline & Labor Problems			
San Francisco, CA	4/10/89	4/12/89	378.00	Airfare
San Francisco, CA	4/10/89	4/12/89	411.69	Actual Expens
San Francisco, CA	4/10/89	4/12/89	435.00	Tuition
			1,224.69	

James A. Smith	Criminal Investigation School			
Glynco, GA	5/24/89	7/20/89	0.00	Tuition
Glynco, GA	5/24/89	7/20/89	573.09	Travel-POV &
			573.09	

Stephen W. Ring	Curriculum Conference			
Glynco, GA	4/19/89	4/21/89	0.00	Tuition
Glynco, GA	4/19/89	4/21/89	134.37	Actual Expens
Glynco, GA	4/19/89	4/21/89	194.00	Airfare
			328.37	

James P. Rohan	Curriculum Conference			
Glynco, GA	4/19/89	4/21/89	0.00	Tuition
Glynco, GA	4/19/89	4/21/89	139.38	Actual Expens
Glynco, GA	4/19/89	4/21/89	194.00	Airfare
			333.38	

Class #84 Recruits	Recruit Training			
Glynco, GA	5/18/89	7/14/89	1,792.00	Airfare
Glynco, GA	5/18/89	7/14/89	10,343.26	Travel-POV &
			12,135.26	

Michael A. Houde	Recruit Training (Class #84)			
Glynco, GA	5/17/89		50.00	Transportatio
			50.00	

Ellen M. Best	Recruit Training (Class #84)			
Glynco, GA	5/16/89		49.22	Enroute Expen
			49.22	

Antonio Ciummo	Recruit Training (Class #85)			
Glynco, GA	8/02/89	9/30/89	13.69	Enroute Expen
			13.69	

John C. Gramm	Recruit Training (Class #85)			
Glynco, GA	8/02/89		13.68	Enroute Expen
			13.68	

Patrick Panek	Recruit Training (Class #85)			
Glynco, GA	8/04/89	9/29/89	323.61	H&C Per Diem
			323.61	

Linda Shaffer	Recruit Training (Class #85)			
Glynco, GA	8/03/89	9/30/89	56.38	Enroute Expen
			56.38	

Richard Twombly	Recruit Trainin (Class #85)			
Glynco, GA	8/03/89	9/29/89	2.00	Enroute Expen
			2.00	

Frank M. Peck	Recruit Training (Class #85)			
Glynco, GA	8/02/89	9/29/89	24.60	Enroute Expen
			24.60	

Recruit Class #85	Recruit Training			
Glynco, GA	8/04/89	9/29/89	1,976.00	Airfare
			1,976.00	

Thomas F. Howard	Driver Training School			
Glynco, GA	8/07/89	8/18/89	48.00	H&C Per Diem
Glynco, GA	8/07/89	8/18/89	264.00	Airfare
Glynco, GA	8/07/89	8/18/89	427.00	Tuition
			739.00	

James P. Rohan	Justice System Training Seminar			
Tampa, FL	8/03/89	8/07/89	0.00	Tuition
Tampa, FL	8/03/89	8/07/89	300.00	Airfare
Tampa, FL	8/03/89	8/07/89	327.52	Actual Expens
			627.52	

EDB Total Travel Expenses: 78,257.04

PSB Training Report

Richard A. Rodgers	1988 Narcotics Officers Seminar			
Virginia Beach, VA	10/05/88	10/07/88	85.00	Tuition
Virginia Beach, VA	10/05/88	10/07/88	111.27	Actual Expens
			196.27	

Raymond E. Eaton	Inter. Assoc. of Bomb Tech. & Investigators			
Wilmington, DE	10/16/88	10/21/88	51.48	Mileage
Wilmington, DE	10/17/88	10/21/88	100.00	Tuition
Wilmington, DE	10/16/88	10/21/88	235.24	Actual Expens
			386.72	

Lawrence R. Hill	Executive/VIP Protection Seminar			
New Orleans, LA	1/30/89	2/01/89	226.36	Actual Expens
New Orleans, LA	1/27/89	2/03/89	277.00	Airfare
New Orleans, LA	1/31/89	2/01/89	350.00	Tuition
			853.36	

Joseph C. Lund	Technical Surveillance I Course			
Ft. Lauderdale, FL	2/19/89	2/25/89	461.00	Airfare
Ft. Lauderdale, FL	2/18/89	2/25/89	568.82	Actual Expens
Ft. Lauderdale, FL	2/20/89	2/24/89	650.00	Tuition
			1,679.82	

Joseph Ozag	Intell. Operations & Suspect Association So			
Newark, DE	1/22/89	1/26/89	230.04	Actual Expens
Newark, DE	1/23/89	1/26/89	600.00	Tuition
			830.04	

William J. Zimmerma	Basic Threat Coordinator Training			
New Port Beach, CA	3/06/89	3/11/89	384.68	Actual Expens
New Port Beach, CA	3/06/89	3/11/89	539.00	Tuition
			923.68	

Price S. Goldston	Basic Threat Coordinator Training			
New Port Beach, CA	3/06/89	3/11/89	378.13	Actual Expens
New Port Beach, CA	3/06/89	3/11/89	539.00	Tuition
			917.13	

Kenneth J. Ranger	Technical Surveillance I Course			
Ft. Lauderdale, FL	4/02/89	4/08/89	297.00	Airfare
Ft. Lauderdale, FL	4/02/89	4/08/89	624.55	Actual Expens
Ft. Lauderdale, FL	4/03/89	4/07/89	650.00	Tuition
			1,571.55	

Robert L. Spratt	Forensic Evidence Photography			
Rochester, NY	4/23/89	4/27/89	208.00	Airfare
Rochester, NY	4/23/89	4/26/89	322.72	Actual Expens
Rochester, NY	4/24/89	4/27/89	645.00	Tuition
			1,175.72	

Raymond E. Eaton	IABTI Regional Training Conference			
Tulsa, OK	6/04/89	6/09/89	235.00	Tuition
Tulsa, OK	6/04/89	6/09/89	292.33	Actual Expens
Tulsa, OK	6/01/89	6/09/89	326.00	Airfare
			853.33	

Gilman G. Udell	IABTI Regional Training Conference			
Tulsa, OK	6/04/89	6/09/89	235.00	Tuition
Tulsa, OK	6/04/89	6/09/89	277.98	Actual Expens
Tulsa, OK	6/01/89	6/09/89	326.00	Airfare
			838.98	

Raymond E. Eaton	IABTI Region IV Training Conference			
Cincinnati, OH	9/17/89	9/22/89	125.00	Tuition
Cincinnati, OH	9/17/89	9/22/89	251.33	Mileage
Cincinnati, OH	9/15/89	9/22/89	440.76	Actual Expens
			817.09	

Kenneth J. Ranger	IABTI Region IV Training Conference			
Cincinnate, OH	9/17/89	9/22/89	125.00	Tuition
Cincinnate, OH	9/17/89	9/22/89	248.00	Airfare
Cincinnate, OH	9/17/89	9/22/89	287.34	Actual Expens
			660.34	

Elroy Shook	Criminal Investigation in Automated Environ			
Glynco, GA	8/12/89		31.03	Actual Expens
Glynco, GA	8/14/89	8/25/89	389.09	Actual Expens
Glynco, GA	8/13/89	8/25/89	519.00	Tuition
			939.12	

Michael A. Jarboe	Anti Terrorism Contingency Planning			
Glynco, GA	9/11/89	9/15/89	0.00	Tuition
Glynco, GA	9/15/89		8.66	Actual Expens
Glynco, GA	9/11/89	9/15/89	88.00	Meals & Lodgi
Glynco, GA	9/11/89	9/15/89	264.00	Airfare
			360.66	

Joseph Ozag	Anti Terrorism Contingency Planning			
Glynco, GA	9/15/89		10.60	Actual Expens
Glynco, GA	9/11/89	9/15/89	88.00	Meals & Lodgi
Glynco, GA	9/11/89	9/15/89	264.00	Airfare
			362.60	

Gregory D. Farman	Anti Terrorism Contingency Planning			
Glynco, GA	9/15/89		7.09	Actual Expens
Glynco, GA	9/11/89	9/15/89	88.00	Meals & Lodgi
Glynco, GA	9/11/89	9/15/89	264.00	Airfare
			359.09	

Elroy Shook	Technical Investigation Equipment Training			
Glynco, GA	9/17/89	9/29/89	31.95	Actual Expens
Glynco, GA	9/17/89	9/29/89	216.00	Meals & Lodgi
Glynco, GA	9/18/89	9/29/89	389.09	H&C Per Diem
Glynco, GA	9/17/89	9/29/89	738.00	Tuition
			1,375.04	

David F. Callaway	Technical Investigation Equipment Training			
Glynco, GA	9/17/89	9/29/89	32.26	Actual Expens
Glynco, GA	9/18/89	9/29/89	48.00	H&C Per Diem
Glynco, GA	9/17/89	9/29/89	216.00	Meals & Lodgi
Glynco, GA	9/17/89	9/29/89	738.00	Tuition
			1,034.26	

Andrei J. Fontanill	Residential Crime Prevention			
Hampton, VA	10/31/88	11/04/88	0.00	Tuition
Hampton, VA	10/31/88	11/04/88	98.51	Mileage
Hampton, VA	10/31/88	11/04/88	287.44	Actual Expens
			385.95	

Tonya A. Blake	Criminal Investigators School			
Glynco, GA	10/05/88	10/12/88	0.00	Tuition
Glynco, GA	10/05/88	10/12/88	717.27	H&C Per Diem
			717.27	

Michael A. Jarboe	Combine Law Enforcement Intelligence Group			
Mt. Pocono, PA	10/12/88	10/14/88	107.42	Mileage
Mt. Pocono, PA	10/12/88	10/14/88	174.41	Actual Expens
			281.83	

James R. Powell	Combined Law Enforcement Intelligence Group			
Mt. Pocono, PA	10/12/88	10/14/88	174.92	Actual Expens
			174.92	

Elroy Shook	Basic Microcomputer Training Program			
Glynco, GA	5/01/89	5/05/89	0.00	Tuition
Glynco, GA	4/30/89	5/05/89	216.00	Meals & Lodgi
Glynco, GA	5/01/89	5/05/89	361.09	H&C Per Diem
			577.09	

David E. Novak	Hazardous Devices Refresher Course			
Huntsville, AL	5/14/89	5/19/89	306.00	Airfare
Huntsville, AL	5/14/89	5/19/89	333.59	Actual Expens
			639.59	

Gilman G. Udell	Hazardous Devices Refresher Course			
Huntsville, AL	5/14/89	5/19/89	285.79	Actual Expens
Huntsville, AL	5/14/89	5/19/89	306.00	Airfare
			591.79	

Roland E. Helton	Hazardous Devices Refresher Course			
Huntsville, AL	6/17/89	6/23/89	669.55	Actual Expens
			669.55	

Billy R. Frye	Hazardous Devices Refresher Course			
Huntsville, AL	9/13/89	9/18/89	358.52	Mileage
Huntsville, AL	9/12/89	9/18/89	389.77	Actual Expens
			748.29	

Michael P. Conway	Hazardous Devices Refresher Course			
Huntsville, AL	8/06/89	8/12/89	0.00	Tuition
Huntsville, AL	8/06/89	8/14/89	316.00	Airfare
Huntsville, AL	8/06/89	8/12/89	587.27	Actual Expens
			903.27	

Rickey L. Stephens	Hazardous Devices Refresher Course			
Huntsville, AL	8/06/89	8/12/89	0.00	Tuition
Huntsville, AL	8/06/89	8/14/89	316.00	Airfare
Huntsville, AL	8/06/89	8/12/89	363.95	Actual Expens
			679.95	

Michael W. Hays	1988 Narcotics Officers Seminar			
Virginia Beach, VA	10/05/88	10/07/88	85.00	Tuition
Virginia Beach, VA	10/05/88	10/07/88	142.53	Actual Expens
			227.53	

Dennis A. Holland	1988 Narcotics Officers Seminar			
Virginia Beach, VA	10/05/88	10/07/88	85.00	Tuition
Virginia Beach, VA	10/05/88	10/07/88	140.78	Actual Expens
			225.78	

Nettie B. Johnson	1988 Narcotics Officers Seminar			
Virginia Beach, VA	10/05/88	10/07/88	85.00	Tuition
Virginia Beach, VA	10/05/88	10/07/88	143.85	Actual Expens
			228.85	

Joseph A. Rosencran	Technical Surveillance I Course			
Ft. Lauderdale, FL	11/13/88	11/19/88	265.17	Actual Expens
Ft. Lauderdale, FL	11/13/88	11/19/88	444.95	Actual Expens
Ft. Lauderdale, FL	11/14/88	11/19/88	650.00	Tuition
			1,360.12	

Gilman G. Udell	Inter. Assoc. of Bomb Tech. & Investigators			
Wilmington, DE	10/17/88	10/21/88	100.00	Tuition
Wilmington, DE	10/16/88	10/21/88	234.98	Actual Expens
			334.98	

PSB Total Travel Expenses: 24,881.56

USB Training Report

Thomas J. Williams	International Canine Conference			
Miami, FL	11/15/88	11/18/88	212.23	Actual Expens
Miami, FL	11/15/88	11/18/88	288.00	Airfare
Miami, FL	11/14/88	11/18/88	300.00	Tuition
			800.23	

Michael G. Mulcahy	International Canine Conference			
Miami, FL	11/15/88	11/18/88	228.44	Actual Expens
Miami, FL	11/15/88	11/18/88	288.00	Airfare
Miami, FL	11/14/88	11/18/88	300.00	Tuition
			816.44	

James N. Webb	International Canine Conference			
Miami, FL	11/15/88	11/18/88	288.00	Airfare
Miami, FL	11/14/88	11/18/88	300.00	Tuition
Miami, FL	11/15/88	11/18/88	393.56	Actual Expens
			981.56	

Charles R. Clark	Tactical Canine Workshop			
Washington, DC	12/12/88	12/13/88	135.00	Tuition
			135.00	

Thomas R. Pishock	Tactical Canine Workshop			
Washington, Dc	12/12/88	12/13/88	135.00	Tuition
			135.00	

Michael G. Mulcahy	Tactical Canine Workshop			
Washington, DC	12/12/88	12/13/88	135.00	Tuition
			135.00	

Michael A. Borowski	Dispatchers Stress and Burnout Seminar			
Washington, DC	12/07/88	12/08/88	275.00	Tuition
			275.00	

James M. Belka	Chemical Munitions Instructor Certification			
Hunt Valley, MD	3/14/89	3/16/89	300.00	Tuition
			300.00	

Michael A. Borowski	40 Hour Training the Trainer Course			
New Smyrna Beach, F	4/16/89	5/01/89	90.64	Actual Expens
New Smyrna Beach, F	4/13/89	5/01/89	178.00	Airfare
New Smyrna Beach, F	4/17/89	4/21/89	200.00	Tuition
New Smyrna Beach, F	4/16/89	4/21/89	283.78	Accomodations
			752.42	

James M. Belka	The Practical Shooting Course & U.S. Marsha			
Germantown, TN	4/29/89	5/09/89	450.00	Tuition
Germantown, TN	4/29/89	5/09/89	535.34	Actual Expens
			985.34	

Charles R. Clark	The Practical Shooting Course & U.S. Marsha			
Germantown, TN	4/29/89	5/09/89	450.00	Tuition
Germantown, TN	4/29/89	5/09/89	574.37	Actual Expens
			1,024.37	

Joseph M. Burke	The Practical Shooting Course & U.S. Marsha			
Germantown, TN	4/29/89	5/09/89	450.00	Tuition
Germantown, TN	4/29/89	5/09/89	539.86	Actual Expens
			989.86	

Edward L. Bailor	Street Survivial "89" - The Tactical Edge			
Arlington, VA	6/24/89	6/25/89	95.00	Tuition
			95.00	

Joseph T. Marshall	Street Survival "89" - The Tactical Edge			
Arlington, VA	6/24/89	6/25/89	95.00	Tuition
			95.00	

George L. Byrd	Tests for BAC in Highway Safety Programs			
Bloomington, IN	5/13/89	5/20/89	352.45	Actual Expens
Bloomington, IN	5/14/89	5/19/89	750.00	Tuition
			1,102.45	

Robert L. Dicks	Tests for BAC in Highway Safety Programs			
Bloomington, IN	5/13/89	5/20/89	321.16	Actual Expens
Bloomington, IN	5/14/89	5/19/89	750.00	Tuition
			1,071.16	

George L. Byrd	CMI Intoxilyzer 5000 Operation & Maintenanc			
Owensboro, KY	7/16/89	7/21/89	255.02	Actual Expens
Owensboro, KY	7/17/89	7/21/89	500.00	Tuition
			755.02	

Robert L. Dicks	CMI Intoxilyzer 5000 Operation & Maintenanc			
Owensboro, KY	7/16/89	7/21/89	274.92	Actual Expens
Owensboro, KY	7/17/89	7/21/89	500.00	Tuition
			774.92	

Rayburn O. Jenkins	FBI National Academy Retraining Session			
Norfolk, VA	7/16/89	7/19/89	100.32	Mileage
Norfolk, VA	7/16/89	7/19/89	150.00	Tuition
Norfolk, VA	7/16/89	7/18/89	243.00	Actual Expens
			493.32	

Charles T. Kindsvat	Associated Public Safety Officers Conferenc			
Sparks, NV	8/06/89	8/11/89	110.00	Tuition
Sparks, NV	8/06/89	8/11/89	197.14	Actual Expens
Sparks, NV	8/05/89	8/13/89	375.00	Airfare
			682.14	

Paul Basak	Associated Public Safety Officers Conferenc			
Sparks, NV	8/06/09	8/11/89	110.00	Tuition
Sparks, NV	8/06/09	8/11/89	563.58	Airfare & Act
			673.58	

Thomas J. Williams	USPCA National Training Seminar			
Mansfield, OH	5/22/89	5/26/89	0.00	Tuition
Mansfield, OH	5/22/89	5/26/89	72.65	Actual Expens
			72.65	

USB Total Travel Expenses: 13,145.46

YOUR JUSTIFICATION INDICATES THAT THIS OBJECT CLASS ALSO FUNDS "PROMOTIONAL ASSESSMENT."

Question. PLEASE EXPLAIN WHAT SERVICES THIS ENTAILS.

Answer. The "Promotional Assessment" is utilized to set aside funds necessary for the Department to contract, through competitive bid, an outside testing firm to conduct a portion of the promotional examinations for some of the ranks in the Department.

The contract attached delineates the exact services provided by the vendor for these promotional examinations.

See attachment titled Contract for Promotional Examination Service for the United States Capitol Police Rank of Detective

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CONTRACT FOR PROMOTIONAL EXAMINATION SERVICES FOR THE UNITED STATES CAPITOL POLICE RANK OF DETECTIVE

The United States of America, represented by the United States Capitol Police Board (the "Government") and Targeted Resource Utilization and Evaluation, Inc. ("TRUE"), 412 Maravista Court, Silver Spring, Maryland 20904, in order to procure and provide professional police promotional examination services for the United States Capitol Police ("U.S.C.P."), 119 "D" Street, N.E., Washington, D.C. 20510-7218, have agreed, as of September 19, 1989, as follows:

ARTICLE I
SERVICES OF TRUE

A. TRUE shall provide the professional services listed below for the U.S.C.P. TRUE shall:

1. Conduct a Project Planning Meeting with appropriate U.S.C.P. personnel designated by the Chief of Police;
2. Conduct subject matter expert workshops;
3. Verify the important or critical tasks and Knowledges, Skills, and Abilities;
4. Identify the reference/source materials to be utilized in the development of test items;
5. Develop a content valid multiple-choice job knowledge examination for administration to U.S.C.P. personnel seeking promotion to the U.S.C.P. rank of Detective. This prepared examination shall consist of approximately one-hundred twenty-five (125) items, none of which shall be utilized in any other examination which TRUE may develop for administration to U.S.C.P. personnel seeking promotion to the rank of Sergeant. Not more than forty percent (40 %) of the developed test items for the Detective's examination may be common with those contained in the written examinations which TRUE may develop for administration to U.S.C.P. personnel seeking promotion to the ranks of Lieutenant and Captain. At least fifty percent (50 %) of all test items shall be developed expressly to address the subject U.S.C.P. job and shall not be drawn from a generic test bank;
6. Reproduce, administer, and score the examinations;
7. Conduct a computerized item analysis for this written U.S.C.P. promotional examination prepared after test administration and participate in the test item appeals process;

8. Complete all aspects of this contract on or before April 1, 1990.

9. Provide testimony and other appropriate professional assistance in maintaining the integrity of this examination against administrative and/or legal challenges, as determined necessary by the U.S.C.P. The costs associated with the provision of this service are not included in this agreement, and shall be billable and payable separately according to the fee schedule contained in the proposal which has been made a part of this contract.

ARTICLE II
COMPENSATION

In consideration of the performance of all the professional services of TRUE required under ARTICLE I of this agreement, the Government shall pay TRUE the sum of thirteen thousand fifty dollars ($13-,050.00), said compensation to be paid in two (2) equal installments according to invoices provided to the U.S.C.P. by TRUE. The first installment payment shall be due and payable on or before September 30, 1989, with the final installment to be due and payable within thirty (30) days after completion of the professional services required under ARTICLE I of this agreement.

ARTICLE III
GENERAL REQUIREMENTS

A. PERIOD OF CONTRACT - This contract shall take effect on September 19, 1989, and shall terminate on May 1, 1990, or upon fulfillment of its terms by both parties at an earlier date. It may be terminated upon the mutual written agreement of both parties hereto at any time during the contract period.

B. TRANSPORTATION - TRUE shall provide, at no additional cost to the Government, all necessary transportation of personnel, equipment, and documents which is required for the proper performance of the terms of this contract.

C. ASSIGNMENT - The rights and obligations under this contract may not be assigned without the mutual written agreement of both parties hereto.

D. COVENANT AGAINST CONTINGENT FEES - TRUE warrants that no person or selling agency has been employed or retained to solicit or secure this contract upon an arrangement or understanding for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees or bona fide established commercial or selling agencies maintained by TRUE for the purpose of securing business. For breach or violation of this warranty the U.S.C.P. shall have the right to annul this contract without liability, or, in its discretion, to deduct from the contract price or consideration, or otherwise recover, the full amount of such commission, percentage, brokerage, or contingent fee.

E. OFFICIALS NOT TO BENEFIT - No Member of or Delegate to Congress, Resident Commissioner, or employee of the U.S.C.P. shall be admitted to any share or part of this contract or to any benefit that may arise therefrom.

F. SERVICE CONTRACT PROVISIONS - This contract, to the extent that it is of the character to which the Service Contract Act of 1965 (79 Stat. 1034, 41 U.S.C. 351), as amended, applies, is subject to all applicable provisions of the Act including but not limited to its requirements concerning compensation, furnishing of benefits, notification to employees and working conditions. TRUE agrees to pay their service employees at the wage rates presently being determined by the Department of Labor, which will be supplied to TRUE as soon as possible and shall thereupon become part of the instant contract.

G. EXTENT AND MODIFICATION OF CONTRACT - This contract and the proposal dated June 16, 1989, including the July 13, 1989 amendment thereto, represent the entire agreement between the Government and TRUE of the terms and conditions of the contract between them. It supersedes all prior negotiations, representations, or agreements, both written and oral. This contract may be amended only by written instrument signed by both parties hereto.

H. FORUM OF CONTRACT - This contract shall be governed by the laws of the District of Columbia to the extent that it is otherwise not covered by Federal statutes, rules, or regulations.

I. CONTRACT AUTHORIZATION - This contract is authorized by the provisions of the Legislative Branch Appropriations Act of 1989, Public Law 100-458, Approved October 1, 1988, __ Stat. ___, as amended.

Question. WHY DO YOU REQUIRE EXTERNAL PROMOTIONAL ASSESSMENT SERVICES?

Answer. Outside testing firms and assessors provide our Department with a level of perceived fairness and additional resources that are unavailable to us internally. Outside testing firms control facets of the testing process, do task analysis and validity studies, and provide impartial, relevant, and valid examinations. Of equal, or even greater importance, is that outside testing is perceived by most of the rank and file of the Department to be fair and unbiased, with no preconceived notion of specific candidates' qualifications. Outside testing firms also provide for the administration of the various written examinations, scoring of the examinations, and provide a comprehensive appeals process prior to publicizing actual test scores. Security of the examination content, legal challenges as to the integrity of the examinations, and other professional assistance is also provided as needed.

PROTECTIVE DETAILS

YOU NOTE THAT THE NUMBER OF PROTECTIVE DETAILS IS UP 70 PERCENT.

Question. WHAT ACCOUNTS FOR THIS INCREASE?

Answer. In FY88 there were 23 protective details performed and in FY89 there were 39 protective details. This represents an increase of 16 or 70% and is attributed to a greater threat level (increased by 11%) directed towards Members of Congress. Additionally, the current FY90 figures for 1st quarter protective details exceeds the FY89 1st quarter figures.

Question. WHAT IMPACT HAS THIS HAD ON YOUR BUDGET AND WORKLOAD?

Answer. With the Members traveling more and more, requests continue to be receive from them and their Committees for protection off the Hill. The increase in these details continue to impact the Department's budget, especially where overtime is involved.

TRANSPORTATION INCREASE

YOUR BUDGET REQUEST INCLUDES A 24 PERCENT INCREASE FOR TRANSPORTATION OF PERSONS.

Question. WHAT ACCOUNTS FOR THIS LARGE INCREASE?

Answer. The increase in this object class of $41,468 can be attributed to the increased travel costs associated with protective details and specialized training for Security Coordination Section, Drug Enforcement Section, and for the Hazardous Devices Section, as well as the increased cost of transporting employees to and from FLETC.

IMPACT OF SEQUESTER/DRUG REDUCTION

YOU ARE REQUESTING $1,017,000 TO RESTORE REDUCTIONS DUE TO THE SEQUESTER AND THE DRUG FUNDING AMENDMENT.

Question. WHAT IMPACT ARE THESE REDUCTIONS HAVING ON YOUR OPERATIONS? WHERE ARE YOU CUTTING SERVICES? HAVE ANY ESSENTIAL FUNCTIONS BEEN DISRUPTED?

Answer. The reductions have place in doubt our remaining recruit classes, and our terminal leave lump sum payment program.

Due to the Sequestration, certain funds had to be set aside in our appropriation. To meet this sequestration, funds that had been dedicated for lump sum terminal leave and Special Duty pay for CERT members were sequestered. These funds account for approximately half of the total amount needed. The remainder of the funds were sequestered from the general salary expense of the Capitol Police. To meet the imposed spending level, a post priority system was developed. This system established a post priority for all assignments based upon criticality, sensitivity, location and security threat level. It is the goal and intention of the Capitol Police to fulfill all assignments; however, due to personnel shortages, posts will be filled in compliance with this post priority system.

The Capitol Police depend on full staffing to provide all the requests for services and post assignments. Whenever vacancies occur there is a personnel shortage and some posts are not covered. This causes us great concern because a post must be left vacant or a request for service must be denied. Our personnel are shifted about to ensure maximum coverage with the officers that are available. As vacancies are filled with new recruits, and each recruit completes the necessary training, post assignments are evaluated to ensure coverage.

Question. IF YOU CAN ABSORB THESE CUTS THIS YEAR WITH NO EFFECT ON ESSENTIAL SERVICES, WHY IS IT NECESSARY TO RESTORE THEM NEXT YEAR?

Answer. As previously stated, there are post assignments that are not manned because of personnel shortages, and without full funding for all positions this will continue to be a security problem or will result in escalating overtime costs. We have been able to operate under the imposed reductions because of the following:

a. Savings realized as a result of vacancies (we presently fund at 100%).
b. Savings realized as a result of funds not dispersed for Lump Sum Terminal Leave Pay and Special Duty Pay. If these funds are not restored, this program which has been endorsed by the GAO in their recent review of the Capitol Police payroll procedures, and also by the Senate Appropriations Committee in the past, will not be implemented.
c. Savings realized as a result of reduced overtime.
d. Savings accumulated in our benefits account during the 1st half of the year as a result of vacancies.

QUESTION THE SUBCOMMITTEE MAY WISH TO ASK THE CAPITOL POLICE BOARD REGARDING A MERGER OF THE LIBRARY OF CONGRESS AND CAPITOL POLICE FORCE

Question. WOULD YOU DESCRIBE THE ADVANTAGES YOU SEE BEING DERIVED FROM A MERGER OF THE LIBRARY OF CONGRESS AND CAPITOL POLICE FORCES?

Answer. As we see it, one advantage to Congress would be a unified police department under the Legislative Branch on the Hill.

Question. COULD SOME OF THE CAPITOL POLICE TRAINING ACTIVITIES BE MADE AVAILABLE TO THE LIBRARY OF CONGRESS POLICE?

Answer. For many years, Library of Congress Police (LCP) personnel have utilized Capitol Police facilities and instructors for weapon certification and re-qualification. Beginning April 9, 1990, LCP sergeants will be attending, in small groups, the one week Capitol Police First Line Supervisors' Training Program. Finally, the Capitol Police has just recently offered LCP personnel the opportunity to attend the post-FLETC Capitol Police nine week recruit training whenever space is available (usually about two slots per class, 4/5 classes per year). Since a segment of this last training deals specifically with Capitol Police policies and procedures, LCP's continued participation should be evaluated by each agency to ensure its benefit to both.

Question. WOULD THE CAPITOL POLICE BE WILLING TO PURCHASE UNIFORMS AND EQUIPMENT FOR THE LIBRARY OF CONGRESS POLICE ON A REIMBURSABLE BASIS IF THEY CAN PURCHASE THE ITEM AT A LOWER PRICE THAN THE LIBRARY OF CONGRESS CAN?

Answer. The Capitol Police obtain excellent pricing on uniform items, largely due to the quantity that is purchased. As long as the Library of Congress is willing to adapt their uniform to our specifications, it would be no problem to order for them. A problem would exist in accepting reimbursement for purchasing uniforms. The Capitol Police have no mechanism wherein a reimbursement can be accepted and placed back into our operating budget. All reimbursements are returned to the Treasury and the Capitol Police do not get any benefit from the funds. The only alternative would be to request the successful bidder to invoice the Capitol Police and the Library of Congress Police separately for their respective portions of the order. However, the mechanics of this proposal would have to be approved by the particular vendor that would be awarded the purchase order.

Question. IF A MERGER TOOK PLACE, WHAT ARE THE MAJOR ISSUES THAT WOULD HAVE TO BE DEALT WITH, AND HOW WOULD THAT BE ACCOMPLISHED?

Answer. With our present difficulties resulting from a dual payroll system and administration of such, a merger of these two departments would only make more difficult the assimilation of the forces. Issues such as; hiring qualifications, leave and retirement systems, combination of ranks, the issue of union representation, and training would all have to be addressed.

Question. IN YOUR VIEW, WOULD THE ADVANTAGES OF MERGING THE CAPITOL AND LIBRARY OF CONGRESS POLICE FORCES BE SIGNIFICANT ENOUGH TO WARRANT ACTION IN THE NEAR FUTURE?

Answer. We do not believe that a merger would be advantageous until such time as our dual payroll problems are resolved.

Question. DO YOU BELIEVE THAT SOME OF THE LIBRARY OF CONGRESS POLICE COULD BE REPLACED BY TRAINED, CIVILIAN GUARDS, AND IF SO, WOULD YOU ANTICIPATE A SAVINGS FROM THIS ACTION?

Answer. A study would have to be conducted to determine exactly what the Library of Congress Police do before we could make a determination as to what positions could be civilianized. Although, GAO has stated that using civilian employees not trained as law enforcement police could result in savings.

QUESTIONS SUBMITTED BY SENATOR DON NICKLES

Question. YOUR FY91 BUDGET JUSTIFICATION INCLUDES A $1,713,000 INCREASE FOR "PAY SCALE ADJUSTMENT". PLEASE EXPLAIN WHAT THIS ITEM IS AND WHY IT IS NECESSARY.

Answer. This increase represents the additional cost in FY91 associated with the compressed pay proposal, which will reduce the current schedule from a sixteen step, twenty-six year scale, to a twelve step, fourteen year schedule. The increase is needed to fund our salaries at the new level once the compression is approved.

Question. PLEASE EXPLAIN HOW YOU CALCULATED YOUR FY90 COLA REQUEST OF $1,675,000. ALSO, HOW ARE YOU CURRENTLY PAYING FOR THE FY90 COLA FOR YOUR EMPLOYEES? ARE YOU TAKING THE FUNDS FROM UNFILLED POSITIONS, ATTRITION, OR OTHER AREAS?

Answer. The increase of $1,675,000 was calculated by annualizing the FY90 positions and multiplying by 3.6%. The salary figures that were utilized were; $23,422,000 for the House and $23,120,000 for the Senate. These figures do not include benefits. To fund the FY90 COLA we are utilizing funds realized as a result of vacancies, and the funds set aside for terminal leave.

Question. PLEASE EXPLAIN YOUR REQUEST OF $650,000 FOR THE FY91 COLA. HOW WAS THIS INCREASE CALCULATED?

Answer. The request for $650,000 represents the cost associated with the projected FY91 COLA. OMB recommended that we included in our budget request, fifty percent of the projected 3.5% COLA for 9 months.

Question. WHAT ARE "LONGEVITY" INCREASES? HOW ARE THY CALCULATED, AND ARE THEY GIVEN TO EVERY EMPLOYEE, OR ONLY THOSE WITH MERITORIOUS SERVICE?

Answer. Under the proposed pay compression, longevity increases are awarded to all sworn personnel each year for the first ten years of services, and every other year thereafter, until they reach 14 years of service. The proposed salary schedule includes longevity step increase of approximately $802 per step.

Question. HOW WAS YOUR REQUEST FOR OVERTIME CALCULATED? WHAT WERE THE FY89 OVERTIME COSTS, YOUR ESTIMATED FY90 OVERTIME COSTS, AND HOW DOES YOUR FY91 REQUEST COMPARE TO THESE PRIOR YEARS?

Answer. Overtime costs were calculated on 100,000 hours. In FY89 overtime costs were approximately $1,870,957. In FY90 we estimate overtime costs at $2,134,000. The FY91 overtime request represents an increase of $166,000 over the estimated FY90. This is attributed to the additional costs associated with the 3.6% COLA and the cost associated with the proposed pay compression.

Question. YOUR BUDGET REQUEST INCLUDES AN INCREASE OF TWO ADDITIONAL SWORN SENATE POSITIONS. IN LIGHT OF THE FACT THAT THE SUBCOMMITTEE ALLOWED YOU TO REDUCE YOUR SWORN POSITIONS BY TWO, TO COMPENSATE FOR THE HIRING OF TWO ADDITIONAL NON-SWORN POSITIONS, WHY ARE YOU NOW REQUESTING THAT THESE TWO SWORN POSITIONS BE REINSTATED?

Answer. We are asking for $50,000 to restore the two positions reduced in FY90 to create 2 civilian positions (computer programmer and procurement clerk). It was our initial intent to hire civilians to relieve the uniformed officers from certain administrative duties thus allowing the officers to fill shortages that now exist in the field.

Question. YOUR BUDGET REQUEST INCLUDES AN INCREASE OF $196,000 FOR GENERAL EXPENSES. PLEASE PROVIDE THE SUBCOMMITTEE WITH THE SPECIFIC BREAKDOWN OF THIS REQUEST. WHAT ITEMS AND SERVICES WILL BE PURCHASED WITH THIS INCREASE?

Answer. The increase can be attributed generally to; training, travel and transportation costs associated with Protective Details and Staff Development, increased maintenance costs, and replacement costs associated with supplies and equipment.

OBJECT CLASS	INCREASE
Transportation of Persons..................	$41,468

The increase in this object class of $41,468 can be attributed to the increased travel costs associated with Protective Details and specialized training for Internal Affairs & Inspection Division (IAID), Security Coordination Section (SCS), Drug Enforcement Unit (DEU), and for the Hazardous Devises Section (HDS), as well as the increased cost of transporting employees to and from FLETC.

Transportation of Things....................$ 2,050

The increase in this object class of $2,050 can be attributed to the increased cost associated with permanent change of station. In FY91 it is possible that as many as four officer will leave Georgia to return to Washington, D.C.

Rents, Communication, & Utilities............$11,959

The increase in this object class of $11,959 can be attributed to the increased cost associated with an additional Lexis/Nexis Data System requested by the Protective Services Bureau, the increased cost associated with the IBM lease and maintenance contract for the equipment and access to the computerized communications network (e.g. WALES/NCIC) and rental vehicles.

Other Services...............................$33,023

The increase in this object class of $33,023 can be attributed to the increased cost associated with the veterinarian contract, contracts for repairs and maintenance to specialized equipment and the promotional process.

Supplies & Materials.........................$45,354

The increase in this object class of $45,354 can be attributed to the cost associated with photo & lab supplies because of the renewal of Congressional I.D. cards and training & video supplies.

Capital Assets...............................$62,646

The increase in this object class of $62,646 can be attributed to the cost associated with vehicle replacement, video recording equipment, and weapons.

Question. YOUR REQUESTED INCREASE OF $41,468 FOR TRANSPORTATION OF PERSONS IS A SIGNIFICANT INCREASE OVER YOUR FY90 LEVEL. IT APPEARS TO ME THAT MEMBERS OF THE CAPITOL POLICE WILL BE TRAVELING MORE OFTEN. WHY IS SUCH A LARGE INCREASE NECESSARY?

Answer. The increase in this object class can be attributed to increased travel costs associated with Protective Details and specialized training for Security Coordination Section, Drug Enforcement Section and for the Hazardous Devices Section, as well as the increased cost of transporting employees to and from FLETC.

Question. YOU HAVE REQUESTED A 21 PERCENT INCREASE IN TRANSPORTATION OF THINGS AND HAVE ATTRIBUTED THE INCREASE TO THE POSSIBILITY OF PERMANENTLY TRANSFERRING FOUR OFFICERS FROM GEORGIA TO WASHINGTON, DC. WHY IS IT NECESSARY TO TRANSFER THESE OFFICERS?

Answer. Currently, four Capitol Police officers (three sergeants and one private first class) are detailed as instructors to the Federal Law Enforcement Training Center (FLETC) in Glynco, Georgia. An agreement between FLETC and the Capitol Police calls for each officer to be detailed for a period of two years, with a third year optional pending the concurrence of all involved parties.

This agreement serves a two-fold purpose. First, by rotating a certain percentage of instructors, FLETC can better keep in touch with current needs of the participating agencies. Second, the Capitol Police can increase its cadre of experienced trainers and better keep abreast of the latest innovations in law enforcement instruction.

Within FY 1991, one detailed instructor will complete his third year at FLETC and will certainly be rotated back to Washington. The other three detailed instructors will end their initial two year period in FY 1991, thus creating the possibility that all four could return to Washington during this time frame. Please note that although these detailed instructors would probably be replaced, FLETC assumes the costs of relocation to Georgia.

Question. ACCORDING TO YOUR BUDGET JUSTIFICATION, THE MAJOR PORTION OF THE $11,959 INCREASE IN RENT, COMMUNICATIONS AND UTILITIES IS ATTRIBUTED TO THE COSTS ASSOCIATED WITH AN ADDITIONAL LEXIS/NEXIS DATE SYSTEM. PLEASE EXPLAIN WHAT THE SYSTEM IS AND WHY IT IS NECESSARY FOR YOUR OPERATIONS.

Answer. The LEXIS/NEXIS data retrieval system is currently utilized by the Office of the General Counsel to greatly enhance that office's capabilities

in conducting speedy and thorough legal research. In addition, the Intelligence Section also utilizes this system in gathering necessary information relating to actual or potential problems associated with special events and other situations which may impact on the functions of the U.S. Capitol Police in providing adequate security for the Capitol Buildings and Grounds and its occupants. The LEXIS/NEXIS system is accessed through our existing PRIME terminals, and does not necessitate any associated hardware costs.

Question. PLEASE PROVIDE THE SUBCOMMITTEE WITH A COMPLETE DETAIL OF WHAT CAPITAL ASSETS WILL BE PURCHASED IN FY91, AND WHAT THE ADDITIONAL INCREASE OF $62,646 WILL BE USED FOR.

Answer. The following capital asset items will be purchased in FY91:
vehicle replacements, radio replacements, battery chargers, video recording studio equipment, electronic sirens, weapons, metal detectors, photographic equipment, printing equipment, emergency rooftop light replacements, fitness center equipment, dignitary protection equipment, canine dogs and equipment, CERT equipment, and a jenny washer (used for washing vehicle, engines, etc.).

The increase in this object class of $62,646 can be attributed to the cost associated with vehicle replacement, video recording equipment, and weapons.

Question. THE CAPITOL POLICE BOARD HAS BEEN UNDER A GREAT DEAL OF SCRUTINY LATELY REGARDING ACCUSATIONS OF DISCRIMINATION BY SEVERAL BLACK OFFICERS. PLEASE PROVIDE THE SUBCOMMITTEE WITH AN UPDATE ON THIS MATTER, AND TELL US WHAT MEASURES YOU ARE ALREADY TAKING IN RESPONDING TO THESE VERY SERIOUS CHARGES.

Answer. On March 22, 1990, the Subcommittee on Personnel and Police held a hearing and allowed all officer wishing to testify on the issue to do so, either in person or in writing. Chairwoman Mary Rose Oakar advised the Committee would investigate all allegations. Prior to the hearing a request was made to the Capitol Police Board to have an outside entity investigate allegations of discrimination within the Department. The Police Board has also established a Task Force to review our grievance procedures. On April 3, 1990, we expect to be provided with a list of the officers formal grievances, upon receipt the grievances will be addressed.

Question. IS IT NECESSARY FOR YOU TO BUDGET FOR RECRUIT TRAINING AT THE FEDERAL LAW ENFORCEMENT CENTER IN GLYNCO, GEORGIA, OR IS THE TREASURY DEPARTMENT STILL REQUIRED TO PROVIDE THE TRAINING ON A NON-REIMBURSABLE BASIS?

Answer. Each year the Treasury Department is mandated by law to budget for the tuition costs associated with basic training at FLETC, however, we must budget and incur all costs associated with transportation and per diem.

Question. IT IS MY RECOLLECTION THAT THERE WAS SOME PUBLICITY LAST YEAR REGARDING LARGE AMOUNTS OF OVERTIME BEING PAID TO A FEW OFFICERS, ESPECIALLY THOSE WHO SERVE AS DRIVERS TO VARIOUS MEMBERS. WHAT HAS BEEN DONE TO REDUCE THESE OVERTIME COSTS?

Answer. House Res. 294 established five positions, within the House ranks of the Capitol Police, to provide a protective service detail covering the House Leadership Offices. Section 3 of the resolution further stated that each position would be limited to 25% of their base pay in overtime compensation. However, one officer has reached his estimated 25% base pay limit and it is anticipated that he will earn approximately 800 hours of additional compensatory time.

Question. IT IS MY UNDERSTANDING THAT MAGNETOMETERS ARE NOW IN USE AT EVERY SENATE OFFICE AND CAPITOL BUILDING ENTRANCE. HOWEVER, THERE ARE X-RAY MACHINES ONLY AT SOME OF THE ENTRANCES. ARE THERE ANY PLANS TO PURCHASE MORE X-RAY MACHINES? WHAT IS THE COST OF AN X-RAY MACHINE?

Answer. There is a very good possibility that the House of Representatives may agree to install similar electronic screening equipment at certain select entrances and subways on the House side of the Capitol. If this is the case, additional x-ray and magnetometers will be needed for at least three (3) locations. Also, there may be a need for both x-ray and magnetometers at the new Judiciary Office Building (Senate side) once a final decision is made regarding security considerations.

The cost for an x-ray machine is approximately $32-,000. This price is based on existing equipment currently installed in the Senate Office Buildings.

Question. HAVE THERE BEEN FURTHER DISCUSSIONS WITH THE DISTRICT OF COLUMBIA WITH REGARD TO THE LOANING OF CAPITOL POLICE OFFICERS TO HELP THE DISTRICT'S WAR ON DRUGS AND CRIME?

Answer. On May 24, 1989, Mr. Guigni, then Chairman of the Police Board, sent a letter to Mayor Barry stating the Capitol Police is willing to enter into discussions and invited a dialogue to ascertain the feasibility for joint Metropolitan Police Department/U.S Capitol Police arrangement. However, no further information has been exchanged.

Question. YOUR BUDGET JUSTIFICATION MENTIONS THAT THE TREND REGARDING THE LOSS OF NEWLY HIRED OFFICERS IS CONTINUING. THE LATEST EVIDENCE OF THIS FACT IS THE LOSS OF 13.3 PERCENT OF THE NEWLY HIRED OFFICERS IN 1989. WHAT STEPS HAVE YOU TAKEN TO ADDRESS THIS SERIOUS SITUATION?

Answer. Currently under consideration by the House Subcommittee on Personnel and Police are measures that will address this serious situation. They include a pay and benefits package that will bring our department in line by providing a new retirement system that provides fairness and equity as we relate to other law enforcement agencies. They also address the issue of pay as it relates to years in service. The proposed pay compression would provide us with fair and equitable treatment as it relates to the time it takes to reach maximum salary as we compare to other law enforcement agencies. Additionally, the issue of enlarging our jurisdiction is being considered.

Question. ONE OF THE REASONS OFTEN CITED AS JUSTIFICATION FOR THE LARGE SIZE OF THE CAPITOL POLICE FORCE IS THE NEED TO HAVE ENOUGH OFFICERS TO HANDLE THE LARGE PUBLIC DEMONSTRATIONS THAT OFTEN ARE HELD ON THE CAPITOL GROUNDS. WHILE THIS IS CERTAINLY A VALID REASON, HAVE YOU INVESTIGATED THE POSSIBILITY OF ENTERING INTO AGREEMENTS WITH OTHER LOCAL POLICE FORCE (E.G. THE D.C. POLICE, THE PARK POLICE, ETC.) THAT WOULD ENABLE YOU TO BORROW OFFICER TO MEET THE MANPOWER REQUIREMENTS OF THESE LARGE DEMONSTRATIONS AND OTHER EVENTS? IF NOT, WHY NOT?

Answer. Large demonstrations or disorders invariably strain the resources of the other agencies as well. They would generally be hard press to handle their responsibilities much less offering us any assistance. Generally speaking, unusually large demonstrations and other serious public disorders affecting the U.S. Capitol Grounds can be expected to affect these other agencies to some degree as well. Therefore, it can be concluded that the primary concern of these agencies would be to ensure the safety and security of their respective jurisdictions before assigning any surplus officers to assist the U.S. Capitol Police in their area of responsibility; any agreement entered into by another agency would unquestionably contain a provision to that effect.

Additionally, it is anticipated that routine requests for assistance from these other agencies would not be provided gratuitously, and the U.S. Capitol Police would likely be billed for the cost of the additional manpower expended by these agencies in providing the requested assistance. Also, there would likely be considerable confusion and controversy as to the supervision and control of the officers from these other agencies vis-a-vis the Chief and other command officials of the U.S. Capitol Police. In other words, who would ultimately be in charge?

In our opinion, the potential monetary savings, if any, associated with having fewer U.S. Capitol Police officers would be completely outweighed by the reduction in the availability of U.S. Capitol Police personnel to adequately ensure the safety and security of the U.S. Capitol Buildings and Grounds, especially during large demonstrations and/or other serious public disorders. We would be unable to ensure the same level of independent security currently provided for the U.S. Capitol Buildings and Grounds if we were placed in the untenable position of having to rely on the largesse of any other police agency to routinely bolster our existing manpower.

ARCHITECT OF THE CAPITOL

STATEMENT OF HON. GEORGE WHITE, ARCHITECT OF THE CAPITOL

BUDGET REQUEST

Senator **Reid**. Our final witness this morning is Mr. George White, the Architect of the Capitol. The Architect is proposing a total budget of $204.9 million and 2,129 positions. This is an increase of $91.3 million, or 73 percent, and 32 positions over present levels.

Welcome, Mr. White. Your full statement will be placed in the record. We would appreciate it if you would introduce those with you and summarize your testimony as succinctly as possible. But before you do, I have to ask—one thing about you, you are not bashful. I mean, you would ask for these increases. I have reviewed—just keep this in mind—some of the increase I understand is $8 million for elevators in the two old Senate office buildings, $3 million for repair of pipes underneath the streets; PCB transformers, $3.2 million; $4 million for telecommunications; $3 million additional security measures; $3 million for furniture and furnishings; $4.2 million, construction of some cable TV systems, on and on with things like that.

So if you could proceed, Senator Nickles is in a real rush and I want him to be able to ask questions.

Senator **Nickles**. I won't have time to ask questions. I want to apologize to Mr. White. I have an 11 o'clock meeting. I just wanted to get a little thrust of where he was coming from. And I apologize to you and Mr. White, but I have to leave.

Senator **Reid**. If you would like to ask questions, he will make his statement later and I will ask questions.

Senator **Nickles**. No; please proceed. I just want him to justify the big increases.

SOME INCREASES REQUIRED BY LAW

Mr. **White**. Well, let me say first that I certainly agree with Senator Nickles' statement earlier before the testimony began this morning, or just at the beginning of it, and I, too, am embarrassed to bring this in front of you. On the other hand, as you are aware, our accounting system doesn't provide a reserve for replacement. We have no depreciation account, so when major maintenance items arise that haven't been recognized over a period of time, they can add up to a lot of money. Some of these are requests that I make as a result of direction from others. Some of them are a result of legislation.

For example, the $3,147,000 payment to the D.C. government for water and sewer services is provided for by law. We didn't have to pay that in the past.

Senator **Reid**. And that comes within your budget?

Mr. **White**. That's right. The construction of the new National Garden which was provided for by law amounts to $3,827,000, if it is funded.

Senator **Reid**. Is this the Rose Garden?

Mr. **White**. It is more than the Rose Garden, it is a National Garden that was provided for by law.

Senator **Nickles**. Authorized?

Mr. **White**. Excuse me, authorized. Yes; in other words, some of these are items that I am required to bring to your attention. As I have often said, it is not my budget, it is your budget, and it is my role to bring to your attention what it costs and then I follow your decision and direction.

Such things, for example, as the replacement of the PCB transformers, is a safety requirement that is part of an ongoing program, and it costs a lot of money. But that again is provided for by law, and we are not allowed under the law to retain PCB-filled transformers.

Senator **Reid**. We haven't even gotten into asbestos removal, have we?

Mr. **White**. Yes; we have. Fortunately that hasn't been as costly for us, and we can discuss why.

The request for funds for the repairs to the steam and chilled water pipe tunnels under North Carolina Avenue near the Capitol Power Plant of $3 million, is for an installation that has been in there since 1955 and there is also a difficulty with the street. The street needs to be repaired, and we deferred last year because the District of Columbia withdrew, or couldn't get to the repair of the street. We plan to do both repairs at the same time. The street looks like hills and valleys.

Senator **Nickles**. Which street is this?

Mr. **White**. North Carolina Avenue Southeast.

Senator **Reid**. Jesse would never stand for this.

Mr. **White**. That's right. So there are some things of that nature that happen to come up now. If we were, for example, to keep accounting on a depreciation basis each year, as one does in the private sector, you would set aside a certain of amount of money, in accounting terms, in preparation for items of this kind. It happens to come all at once, so I certainly agree with Senator Nickles, it is an embarrassment to show this kind of an increase at a time when everybody is aware of the necessity to conserve our resources.

NEED FOR ADDITIONAL STAFF

In another regard, for example, we have tried over the years to be lean and mean in our numbers of employees, and we have reached the point now where we can no longer respond to the proper levels of service that the Congress requires without increasing our numbers of employees. And I would be glad to get into the detail of that later.

So I certainly agree, it is an embarrassment. It doesn't seem right at a time like this to come in with that kind of a percentage increase, but the requirements have peaked in this budget.

Senator NICKLES. Excuse me, Mr. White, I apologize. I have to leave.

Senator REID. I think that what we will do is just go into the questions. You don't mind, do you?

Mr. WHITE. Not a bit.

Senator REID. I have heard your statements before. [Laughter.]

ADDITIONAL ELEVATORS

You have heard mine. Let's talk about some of those big ticket items. For example, let's make a record as to why there needs to be elevators replaced in the Dirksen and Russell Buildings. And if you need expert witness, I can give you a little testimony about stepping off about two feet into one of those elevators. But why do we need new elevators?

Mr. WHITE. Well, first let me say that additional elevators are what we are talking about.

Senator REID. This isn't even fixing the old ones?

Mr. WHITE. That's right. We have funding in here for fixing the old ones for which this committee has been supportive, and we are in the process of doing a lot of that. We are fixing old ones, we are bringing them up to modern day standards. Some of them still have the old, I call them, clickety-clack controls, the mechanical-electrical controls that need to be replaced with modern state-of-the-art electronic control systems. But when one does all of that, when one makes them safe and more efficient, there is only so much efficiency that one can provide.

You can have more sophisticated controls that permit the doors to be operated at a tighter level of control so that you pick up 1 or 2 seconds in the door opening and closing times and so on, but finally when one gets all through with that, one is still faced with the fact that there are more people populating these buildings than they were originally designed for. The Russell Building, as you know, was conceptualized in 1901 and completed in 1910 and the number of people in there now has dramatically increased. There simply isn't enough vertical transportation to respond to the needs of the activities within the building.

IMPROVEMENTS TO HART ELEVATORS

In the case of the Hart Building, policy changed from the time we designed it to the time we occupied it. It took a number of years, of course, to build it and occupy it. We were told that two banks of 6 elevators each, 12 elevators—not counting the freight elevators—would be used for everyone in the building. And so it was designed that way. That is to say, the speed of the elevators, and the number of elevators were designed to handle the population in that building. The building wasn't open a week before we were directed to take one elevator from each of those banks and assign it for Senators only.

Now that still lets us to handle the traffic with the remaining 10 elevators, 5 in each bank, but if something happens to one of those, there is an exponential increase in waiting time because we are at the ragged edge of taking care of the traffic within the building.

Some funding is requested for improving the control systems of those elevators to increase their efficiency.

So those are some of the reasons. We simply need more vertical transportation to handle——

Senator **Reid**. Take, for example, the Russell Building, would you actually put in additional elevators?

Mr. **White**. Additional elevators, yes. We have some design proposals underway which have not yet been presented to the Rules Committee as specific designs. The thought is to add elevators perhaps in the courtway without removing area from within the building, that sort of thing. Actually that $8 million is for the addition of about 10 elevators in all three buildings.

Senator **Reid**. The information I have been given indicates that you are talking about building 12 or so more elevators.

Mr. **White**. About 10. We originally estimated off the top of our heads that it would cost about $600,000 per elevator, but it turns out it is higher than that. We are up around $800,000 an elevator at this point.

Senator **Reid**. Some of these would be the House side also?

Mr. **White**. No; those are all Senate side. We have another $8 million requested for elevators on the House side. So there's $16 million, you see, that has suddenly surfaced and, of course, that money will not be expended except over a lengthy period of time, but we ask for it now. There are possibilities in terms of the budgeting process to defer some of it to future times when it will be needed. But it is our role, I feel, to bring to your attention what that total amount is.

ELEVATOR TRAFFIC SURVEY

Senator **Reid**. You did indicate last year that there would be a detailed utilization report or data to support the construction of these additional elevators. Do you have that ready?

Mr. **White**. It is not yet ready but it is in process. We are making traffic surveys. We are not finished, but what we have discovered up to now, I can say will corroborate what I have stated, namely that there is not enough vertical transportation in these buildings.

SENATE RESTAURANTS FOOD IMPROVEMENTS

Senator **Reid**. I see behind you the man that has worked with Peatsey Hollings and myself on food, and I think there has been some improvement made and I would like to acknowledge that publicly. I think you tried real hard and I think there is certainly room for improvement, but it is really—I think I am satisfied with the efforts and the improvements that have been made.

Mr. **White**. Thank you very much. We have tried hard and we will continue to do so.

SENATE OFFICE BUILDING MAINTENANCE

Senator **Reid**. Tell me about the maintenance of the buildings. Could you detail any new initiatives or programs that you have begun to clean up these beautiful old buildings?

NEW BUILDING INSPECTOR

Mr. **White**. Yes; we have done a number of things. One of the primary things that we have done is to add a full-time inspector who reports directly to me.

Senator **Reid**. Is he out in the field inspecting?

Mr. **White**. He is out in the field every day.

Senator **Reid**. Who is that person?

Mr. **White**. His name is Jerry Ketchem.

Senator **Reid**. Well, that's a good name. [Laughter.]

Mr. **White**. That's right. That's why we selected him, and he is catching them. Our situation is similar to a municipality, where you have central inspectors that go around to see that the work is being properly done. Otherwise you have, as the saying goes, the fox watching the chicken coop. This inspector reports directly to me. He inspects not only for cleanliness, but for physical deterioration in all the buildings on the Hill, not simply the Senate side; the House, Senate, Supreme Court, Library of Congress, wherever.

Senator **Reid**. That is a big job for one man.

Mr. **White**. It is, and initially it took a long time. He has visited every Senator's office, every office of a Member of the House, and has spoken to the office managers. This has been going on now for some little time. He has a list of citations, in effect, that he develops, and I have asked him to be very tough. Some of the response to those was uneasiness. On the other hand, it has been responded to very well at all portions of the Hill. So it has worked very well and it has been an improvement in the Senate side.

DAY-INSPECTORS ADDED

Within the Superintendent's Office we have also established three day-inspectors within the office that go around to see that the maintenance is being properly done and that the people who are supposed to be doing their assigned duties are, in fact, carrying them out.

SUPERVISORY TRAINING

And we have also done something about supervisory training. Since our office was put under the Training Act, we have spent some money sending supervisors to school to train them as to how to be supervisors. It was something we never did in the past. People were promoted because they had been here a certain length of time and they really hadn't been taught how to be a supervisor or a manager. For some people that comes as second nature, but for most people some formalized training is a benefit. That has had a major effect on supervising the work that is being done and getting good response from the people who are doing the work, recognizing that their supervisors have an understanding of their role and their problems, et cetera.

NEW FLOOR CARE PROGRAM

We have a floor care program being reevaluated. There are new methods now that have been developed over the years of taking care of marble floors, that is, how to clean them and apply new materials to them. Rather than listen to the salesman who says his wax or his floor finish is the same as the best, we are reevaluating that whole picture as new products come on the line. We have a venetian blind cleaning program in the offing—you provided funding for us for a machine which is now in the process of delivery.

PROFESSIONAL ENGINEER ADDED

So we have done a great many things. Not only that, we have had added an individual, a professional engineer, as a part of the management staff working under Larry Stoffel, our building superintendent, to be responsible for all the shops and the activities within those so that the maintenance as well as the cleaning is being reevaluated and supervised with a more professional individual than we have been able to have before, and it is an additional individual. We have indeed done a great many things and continue to do so, and I am quite pleased with the results. That is not to say there aren't improvements that can yet be made, but that is what we have done.

SENATE SUBWAY SYSTEM

Senator Reid. The committee provided $3 million for 1990 for a subway system once an appropriate design and financing plan was approved. You have included $3 million in your budget for this project. And I can say, as someone that must take the subway to make votes—I am in the Hart Building—boy, that is tough. You know, people are bumped off that old subway car. They stand around and wait. I think it is something that for the good of the institution we have to try to correct.

A number of my colleagues are so concerned that a subway is going to be seen as an extravagance. We have one now that is dilapidated, worn out. I understand they don't make parts for it, we have to make parts for those cars.

Mr. White. That's correct.

Senator Reid. And it is a long ways from the Hart Building to the Capitol. You just can't make with the votes that come as they do; you can't make it over there and back in time. And there are some people who simply, because of age, infirmity, cannot walk—the subway is the only way they can go back and forth. I am not talking about Senators, I am talking visitors from our States. So I don't see the subway as an extravagance. It is something that has been there and it has come time to replace it. You talked about depreciation, those things have depreciated 1,000 times over, and it costs a great deal of money to keep them up. We spend a lot of money maintaining something that is not very efficient.

Mr. White. And we spend a lot of money operating them as well.

Senator Reid. Yes; and it is my understanding some of the programs you are looking at would be without operators?

Mr. White. That's correct.

Senator Reid. And that would save a significant amount of money there also.

Mr. White. That's correct. I might say, Mr. Chairman, that, as you know, there was a proposal to finance this from the private sector, and in the meantime we have a request pending now before the committee for the expenditure of $1½ million of that $3 million to continue with the design. We have firm figures from the bidders and we have awarded——

SUBWAY DESIGN APPROVED

Senator REID. I think we have already approved that.

Mr. WHITE. Good, because that will enable us in the interim to continue with the design and——

Senator REID. Yes; we need to go forward with that.

Mr. WHITE. Good.

Senator REID. We have talked about the present system—that it is not reliable, that it has significant down time. You never know when it is going to go down.

Do you have any prediction, or does anyone with you, a prediction of the present lifetime of the system we now have? I think it was dead a long time ago.

Mr. WHITE. Well, yes, you know, its life is over right now. We are keeping it alive on lifesaving equipment just like someone in a hospital that is in intensive care. The frames underneath these cars have been welded and rewelded so many times that the welds are now cracking. As you know, we estimated it would cost $3 million just to replace those cars, after which we would still have the old system. So it is in intensive care right now. We monitor it on a 24-hour basis, and as the pulse rate goes up we do something about it.

EAST PLAZA IMPROVEMENTS

Senator REID. Last year we discussed removal of the parking lot from East Plaza.

Mr. WHITE. Yes.

Senator REID. Your plan envisioned a couple of fountains and Belgian block marble to replace the parking lot. What are we doing in that regard? What has happened?

Mr. WHITE. There are funds that have been raised through the sale of the congressional coin which are now in the bank, as it were, under the jurisdiction of the Commission for the Preservation of the United States Capitol, which was established by law. There is approximately $15 or $16 million in the bank earning interest every month, approximately $100,000 or more.

I have made a request to the Commission through the Speaker of the House to authorize the expenditure of about $300,000 in design funds, both for the East Plaza and for the refurbishing and restoration of the Statue of Freedom, which is in bad condition, at the top of the dome. There was some need for the Commission to decide how to control those funds. It was, after all, a new Commission, and that I think has now been done, or at least been done informally. I don't think the Commission has actually met as yet, but it is my understanding——

Senator REID. If they have I missed the meeting.

Mr. WHITE. No; I think it has not met, but it is my understanding from the Speaker's office that they intend to have a meeting within the next few weeks in order to authorize the request. That is where it stands.

Senator **Reid**. Because with that much money you can do some nice things out there, can't you?

Mr. **White**. Yes; absolutely.

Senator **Reid**. Get rid of that asphalt.

Mr. **White**. That's right. And it was my hope that the $300,000, which would enable us to pursue the design work, would offer some lead time for the Commission then to decide in detail how it wanted to control those funds so that the final decision of fund control would not need be to be made at this moment, and I think that was supposed to happen, Mr. Chairman.

HAZARDOUS WASTE ACCUMULATION

Senator **Reid**. You have asked for $350,000 for disposal of hazardous waste. Could you tell me what hazardous waste has accumulated in the Capitol?

Mr. **White**. Yes; we have a number of drums of waste that have accumulated over the years. They are now over at the Capitol Power Plant coal yard. We have a number of 55-gallon drums which contain oil products, refrigerants, gear oil, contaminated fuel oil, paint products, solvents, obsolete lead and oil based paints. We have 52 drums which are unknown, we don't know what is in them. And then we have 68 empty drums that at one time contained some unknown material. In accordance with regulations they have to be handled as though they contain hazardous waste until we find out what was in them. Then there are some containing residues of an unknown variety. We also have 60 lead antimony acid type batteries as well as 12 large truck batteries.

Senator **Reid**. How did you arrive at the $350,000 figure?

Mr. **White**. It is an estimate based upon a contractor coming in and examining these drums and disposing of them in accordance with the EPA regulations. One of the issues, of course, is that these drums have been sitting there for a long time and we have to be certain that they don't break and spill which would result in a new problem. They have to be handled carefully, and it was estimated on the basis of a contractor's estimate.

PREPARED STATEMENT AND ADDITIONAL COMMITTEE QUESTIONS

Senator **Reid**. I have a number of other written questions that I will submit to you and I would appreciate if you could within the next couple of weeks get back to the committee in writing. Suffice it to say that with all these huge capital expenditures that you are looking to make, we won't be able to make all of them——

Mr. **White**. Of course.

Senator **Reid** [continuing]. And you know that. So I think it is important that you work with the staff to find out what we can do. I mean the elevators, I understand that is a problem. We may have to go a building at a time.

Mr. **White**. Exactly.

Senator **Reid**. We may have to go a wing in a building at a time. I know in the long run that winds up costing us more money than just to have one contractor do it all, but I think with the budget constraints that we have we are going to have try to do the possible, not the impossible.

Mr. **White**. I agree, Mr. Chairman. I believe there are a number of things that can be done to reduce this, but it was, I feel, my professional obligation to bring the magnitude of the problem to your attention.

Senator **Reid**. I want to tell you that I think significant improvements have been made in the work that you have done during the past year. I think directing attention to areas that Members of the Senate have as a concern is one way that you can do a better job, and you have tried to do that. The staff has brought us concerns and we have tried to relate those to you. We appreciate your cooperation working with us in that regard.

Mr. **White**. Thank you very much.

[The information follows:]

STATEMENT OF GEORGE M. WHITE

In presenting our appropriations request for fiscal year 1991, Mr. Chairman, I intend to proceed, with your approval, in the same manner as has been the practice for the past several years, that is, to present a brief summary of the various requests, following which I will be pleased to respond in detail to questions regarding any of the specific items that you wish to pursue.

The justifications have been prepared, Mr. Chairman, to include all items pertaining to the "Architect of the Capitol," including House items, Senate items, joint items, and the Botanic Garden. As directed in the Conference Report accompanying the Legislative Branch Appropriations Act, 1990, I have prepared the fiscal year 1991 budget request as a single appropriation.

The total appropriation request for fiscal year 1991 is $205,332,000, which includes funding for 2,130 positions. This represents a net increase of $80,759,000 over the fiscal year 1990 revised appropriation total of $124,573,000. Stated differently, gross increases requested are $91,771,000 which have been reduced by nonrecurring fiscal year 1990 deductions amounting to $11,012,000. If the item "House Office Buildings" is excluded, the $91,771,000 increase for 1991 reduces to $65,840,000, of which $22,826,000 is for Senate Office Buildings. The $65,840,000 increase, which excludes "House Office Buildings," falls into five categories.

Before I detail the increases by category, I would like to comment on the size and nature of the requested increase of $65,840,000 for fiscal year 1991. The increase requested is approximately 70% over the appropriated amount for fiscal year 1990, which at first glance seems immense. However, 61% of this increase, $39,931,000, is accounted for by thirteen projects, nine of which I have been directed or requested to proceed. Included among these large items are construction of new elevators in the Russell and Dirksen Buildings, $8,000,000; renovation of the antiquated electrical system in the Russell Building, $1,000,000; repairs to steam and chilled water pipe tunnels underneath streets, $3,000,000; replacement of the Madison Building's roof, $3,100,000; the continued replacement of PCB transformers in the Capitol complex, amounting to $4,184,000; telecommunications funding, $3,000,000; additional security measures in the form of an advanced in place monitoring system, $3,000,000; monies to provide furniture and furnishings in the Senate Office Buildings, $4,323,000; construction of a new head end to the Congressional cable TV system, $1,500,000; improvements to Senate Office Building elevators, $1,350,000; installation of an uninterruptable power supply at the Senate Computer Center, $500,000; payment to the D.C. Government for water and sewer services as recently required by law, $3,147,000; and construction of the new National Garden, $3,827,000.

Mandatory Items, which total $4,660,000, or 7% of the increase: This category includes personnel benefits and premium pay items for existing positions and within-grade salary advancements and other changes authorized by law.

New Positions, which total $1,159,000, or 2% of the increase: A total of 33 new positions are requested in the fiscal year 1991 budget, including 14 new Senate positions required to provide support for the new Senate furniture and furnishings policy. Although I am aware of the restraints placed on the Legislative Branch in terms of new positions allowed over the past few years, the need is so great that I am constrained to bring these staffing concerns to the Committee's attention. The positions requested, are for the most part, needed to provide support for activities that are workload increases and to improve service delivery. Some of the workload increases are in the area of technical and administrative support for Architect of the

Capitol computer systems; others are to provide support for a new program to manage hazardous materials and waste; and others are to provide support for our human resources division. The requested new positions fall into several work categories, namely: air conditioning engineering division, one position to provide for clerical and secretarial support for all the engineering divisions located at 501 First Street, S.E., three positions for the safety engineering division, which was created to develop and support programs for a safe work place, to oversee the management and disposal of hazardous materials as required by law, and where responsibilities have increased; five positions for the Human Resources Management Division, including one staffing specialist devoted to recruiting new employees and developing a career staffing program, one workers' compensation specialist to administer the growing requirements of the federal Office of Workers' Compensation and the newly created Architect of the Capitol drug free work place program, one employee development specialist to monitor current and projected future employee career development programs, including providing on the job training, reducing staff turnover, and creating a formal apprentice program, and two positions to implement, administer and support an employee incentive awards program, authorized by 5 USC 4501-4507; data processing division, which supports the major automated administrative functions, two computer operators to keep up with growing user needs and one computer assistant to provide administrative support to the head of the division; new positions for the director of management information systems, who is tasked with meeting the goals set forth in the strategic plan and updating those goals as necessary, including three positions for a microcomputer support group to provide a coordinated approach and support to in-house microcomputer users, and one secretarial position to provide administrative and clerical support to this activity; one additional nurse position, requested by the Attending Physician; and two positions for the Botanic Garden, including one curator for the newly created National Garden and one secretary to provide clerical and office support and relieve foremen and facility managers of secretarial tasks. With regard to the fourteen new positions requested to support the Senate furniture and furnishings operations, I should emphasize that these positions are required to provide adequate staffing levels for that function as it now exists. In conjunction with the Senate Rules Committee's review of the new furniture policy, an extensive review was performed of the existing operation and its staffing. In comparison with the Clerk of the House's furniture operation staffing level of approximately 150 positions, the Senate should have a staffing level of approximately 100 positions. The current staffing level is unacceptable at 54; the requested new positions will bring the total number of furniture staff to 68.

Annual Recurring Maintenance, which totals $4,459,000 or 7% of the increase: This category is required to finance normal maintenance responsibilities, such as repairs and improvements to electrical, air conditioning and other mechanical systems; procurement of supplies and materials and equipment; cleaning and custodial care; and painting. Of the total increase of $4,459,000, approximately $489,000 represents inflationary increases. The balance of this increase, $3,970,000, is required primarily for ongoing needs, such as the rental of warehouse space, and new programs, such as providing for the operations and maintenance of the new safety engineering and office waste recycling programs. The largest single requirement, in the amount of $3,147,000, for this category, however, is in the "Capitol Power Plant," and provides for a new annual water and sewer service payment to the District of Columbia government as provided for in Public Law 101-168, the District of Columbia Appropriations Act, 1990. This item represents 71% of the requested increase under this category.

Cyclical Maintenance, which totals $11,089,000, or 17% of the increase; As indicated in the past, I define this category as long term maintenance items that arise only once in ten or twenty years, such as roof repairs, sidewalk replacement and so forth. Four of the largest items total $7,653,000, and represent 69% of this increase in monetary terms requested under this category. They are the renovation of Committee hearing rooms in the Dirksen Building ($953,000), repairs to steam pipe tunnels, ($3,000,000), replacing the steam lines from the Rayburn Building to the Botanic Garden ($600,000), and roof replacement at the James Madison Memorial Building, ($3,100,000). The remainder of $3,436,000 is required for several items for property and equipment maintenance replacement. I should mention that proper cyclical maintenance is a critical investment in the Capitol Complex. Several million dollars may seem costly, but compared to the cost of constructing a new building because we haven't kept an old one in good shape, these costs are relatively minor.

The last category is Continuing and Initiating Other Programs, which totals $44,473,000, or 67% of the increase; Included in this category are funds for such programs as replacement of PCB transformers ($4,184,000); an advanced in place monitoring system similar to that installed in the Senate, for the House side of the Capitol Complex ($3,000,000); improved lighting for the Capitol Grounds to provide safer night time illumination ($400,000); telecommunications funding for the Capitol Complex ($3,000,000); construction of additional elevators for the Russell and Dirksen Buildings ($8,000,000); funds for furniture and furnishings in the Senate Office Buildings ($4,323,000); construction of a new head end to the Congressional cable system ($1,500,000); design and installation of elevator controls in the Hart Building ($1,200,000);

and construction funding for the new National Garden ($3,827,000). Several other items, which total $15,039,000, comprise the balance of this request.

I should remind the Committee that we have transmitted two fiscal year 1991 Budget Amendments to OMB. The first, transmitted February 9, 1990, was for $48,000 to fund one additional nurse position in the Capitol Buildings. This amendment was made at the request of the Attending Physician. The second, transmitted March 7,1990, was for $400,000 for improved street lighting on the Capitol Grounds. That amendment was made to respond to recent concerns about night time safety and street lighting illumination levels. I have already submitted a reprogramming request in the amount of $50,000 to initiate improved lighting along First and Second Streets, N.E. and S.E.

I would also like to mention briefly two major projects and their progress. The West Front Restoration was completed in September 1937, nearly one year ahead of schedule and $25 million under budget. The study on the structural problems with the terraces was completed in April 1988, and the Commission on the West Central Front directed me to request a reprogramming in the amount of $9,820,000 to repair the terraces and provide 4,800 square feet of utilitarian space under the middle terrace level. A reprogramming request was forwarded in October 1988 to the Committees on Appropriations to provide for the design and construction of the structural repairs. The House Subcommittee on Legislative Branch Appropriations approved a reprogramming of funds in the amount of $9,820,000. The Senate Subcommittee on Legislative Branch Appropriations approved a reprogramming not to exceed $1,000,000 to provide for the design phase including working drawings, specifications, and review of bids, etc., to undertake the bidding process.

In addition, at the request of the Majority Leader of the Senate, and with the concurrence and approval of the House Office Building Commission, I forwarded a proposal in April 1989 to the Commission on the West Central Front to provide approximately 16,400 square feet of space within the courtyard areas on the West Central Front at an estimated cost of $7,000,000. This proposal was approved by the Commission on the West Central Front. A reprogramming request was forwarded in May 1989 to the Committees on Appropriations to provide for the design and construction of urgently needed additional office and committee space in the courtyard areas on the West Central Front of the Capitol. The House Subcommittee on Legislative Branch Appropriations approved a reprogramming of funds in the amount of $7,000,000. The Senate Subcommittee on Legislative Branch Appropriations subsequently approved a reprogramming in an amount not to exceed $1,200,000 to provide for the design and bid preparation phase of that proposal.

At the present time, both design efforts are underway. I am prepared to brief the Committee on the progress to date of these design efforts.

The Library of Congress Renovation and Restoration of the Thomas Jefferson and John Adams Buildings is progressing well. All Milestone I work was completed in November, 1986. The major work in Milestone II, which is the Architectural, Mechanical and Electrical work, was substantially complete in December 1989. Phase II interim occupancy work is underway and will continue throughout the period when the Library of Congress is moving from the Phase II portions of the buildings to the Phase I portions. Preparatory work on Phase II Renovation (Milestone IV) is proceeding. At this point I would like to bring the Committee up to date with respect to the redesign of the colonnade forecourts. As you will recall, the redesign was requested by the Librarian of Congress, and was reviewed and approved by both Appropriations

Committees. We have proceeded with the understanding, which was stipulated by the Committees, that no additional funds will be appropriated for this work, but that a transfer of monies from the Library might be considered if necessary. The design drawings are virtually complete and budget projections are in the process of being finalized. I will keep the Committees and the Librarian informed of any potential need for authority to transfer monies to cover the cost of the redesigned forecourts. Detailed reports on each project are included in our justifications.

With regard to certain delays on the restoration project, I want to assure the Committee that ongoing discussions between members of my staff and the Library of Congress have increased the level of project coordination and communication of needs on both sides. Cooperation on the interim occupancy milestone, which involves Library of Congress moves, is the most critical schedule issue, and we are working closely together on that. I intend to closely monitor the interaction of my staff, the Library, and the various project contractors to assure that no delays arise from foreseeable or preventable issues.

Mr. Chairman, that concludes my brief summary and I shall be pleased to respond to questions that you and the Committee may have.

ADDITIONAL COMMITTEE QUESTIONS

ARCHITECT OF THE CAPITOL

STAFFING

You are requesting a total of 32 new positions.

Question: What is your authorized number of positions and how many were you authorized (roughly) in FY 1980?

Response: The current authorized number of positions is 2,097. In 1980 the authorized number of positions was 2,001.

Five of the new positions requested are for the expansion of the Human Resources Management Division. You state in your justification that we are entering a new era in terms of human resource management in the Office of the Architect of the Capitol.

Question: Please contrast this new era with the current state of human resource management for your office.

Response: As indicated in our justifications, we are entering a new era in terms of human resources management in the Office of the Architect of the Capitol -- one that is centered on the development and utilization of human resources. We are directing our program to the accomplishment of the goals and missions of this Office, rather than serving solely as an administrative support or control function.

We have made substantial changes in the way in which human resources management activities are conducted. First line supervisors are expected to take a much greater role in day-to-day personnel administration. To that end, all supervisors have been provided with 40 hours of initial supervisory training, and will have completed an additional 40 hours by the end of the year.

In an effort to ensure maximum opportunity for advancement, training is being provided to employees at all levels, position vacancies are posted, and a central career staffing program is being developed. The Human Resources Office will be administering the centralized program. In a time when it is becoming more difficult to attract highly skilled individuals, it is critical to the operation of this office that we recruit, train, and maintain registers of qualified employees.

The Human Resources Management Division has a staffing ratio of 1:138 (employees in the Division to total employment population); the OMB accepted ratio is 1:72. The additional positions requested will provide this office with a staffing ratio of 1:113. We are of the opinion that such a ratio will permit us to implement and administer programs, policies, and procedures to provide for a comprehensive human resources management program.

The issuance of formal, uniform policies and procedures to ensure fairness to all employees; the provision of expert assistance and advice to supervisors concerning human resource matters; the provisions of programs to assist employees with problems by providing expert, timely, and compassionate counseling; the establishment of recognition and awards programs; and the issuance of employee handbooks to all staff members are activities that create the foundation and future opportunity, when properly administered, to ensure a HRMD contribution to the effective accomplishment of this office's very demanding mission.

Question: What will these new positions provide that is not currently being offered? Why have you waited until now to address this need?

Response: The positions will be directed to the administration of the programs and activities identified above. We have not waited to address the need but we felt it prudent to be certain that the Human Resources Management Division was unable to implement and administer the new programs with existing staff resources before we asked for a staffing increase. The Human Resources Management Division was reorganized to provide for a more efficient operation, but, even so, the critical need to expand, develop, and administer personnel programs made it necessary to request additional staff for fiscal year 1991. Much of the additional workload placed on Human Resources has been absorbed, but we are now at a point where the only way to keep abreast of statutory changes, while expanding and improving existing programs, is with additional personnel resources.

You indicate that 2 of these 5 positions are for the implementation of a new Incentive Awards Program pursuant to federal regulations.

Question: Are you saying these regulations mandate an incentive awards program?

Response: The Office of the Architect of the Capitol is subject to the provisions of Chapter 45, Title 5, United States Code - Incentive Awards.

Chapter 45 of Title 5 of the United States Code is the legal basis for the establishment of the Government Employees' Incentive Awards Program.

The Government Employees' Incentive Awards Program is designed to improve Government operation and services. Its purpose is to motivate employees to increase productivity and creativity by rewarding those whose job performance and adopted ides benefit the Government and are substantially above normal job requirements and performance standards (5 CFR 451.201).

The Office of the Architect of the Capitol and the Botanic Garden are included in the definition of 'agency' in 5 U.S.C. 4501.

5 U.S.C. 4503 provides that a head of an agency may pay a cash award and incur necessary expenses for the honorary recognition of an employee who meets the criteria set out by the program.

Question: Is there no awards system presently? If there is, who is currently administering it?

Response: This Office has a length of service awards program whereby employees are recognized for their Federal service. The employees receive a service pin and a certificate for each five years of service. This program has been in effect since the late 1960's and is administered by Human Resources. The General Accounting Office, in a recent report requested by a Member, indicated that this Office should implement a total incentive awards program.

You are also requesting 2 GS-6 Computer Operators. One to assist the current day shift operator and the other to work a night shift.

Question: Is there currently enough work for 2 full-time day shift operators? How far are you behind (since currently there is only one operator)?

Response: We are currently 1.5 person years behind. Periodically we get behind 2 to 3 days on crisis work but as the need arises we schedule overtime. Currently just the handling of the crisis work requires one-fourth person year of overtime every Fiscal Year. In addition, as the workload builds during the day, the Operations Branch Supervisor will drop other work and assist in the actual computer room operations.

Question: What responsibilities will the night shift operator be required to fulfill? How do these differ from the work done during the day?

Response: The night shift is responsible for the total backup of all user files and processing of all large printouts such as Inventory, Payroll composites, Payroll pay stubs, Payroll time sheets, Accounting vouchers, and Human Resources Management personnel actions.

Backup and large printouts are not practical to run on the day shift.

We have periodically streamlined the backup procedures with new software, in-depth systems analysis of our run processing streams but still find that we are taking risks with our large backups not being run often enough (currently every other week rather than a minimum of weekly). The normal backups only back up changed files and would present some problems in case of disaster with the coordination of the files. In addition, when the work-load gets too great we must skip some nightly backups. Usually the omission of a nightly backup has proven to be "penny wise and pound foolish."

SENATE OFFICE BUILDING MAINTENANCE AND UPKEEP

Mr. White, last year the committee directed that more attention be given to the maintenance and upkeep of the Senate Buildings and offices.

Question: Please detail any new initiatives or programs which you have begun during the past year to satisfy this concern.

Response: Several new programs for improving the cleanliness and maintenance of the Senate Office Buildings have been initiated.

1. Building inspection has been improved on two levels. First, the Office of the Architect of the Capitol established a full time inspector position who reports directly to the Architect. This inspector has met with every Senator and office manager to provide open communication and receive comments on problem areas and other concerns. Second, the Senate Office Buildings Superintendent has created three day inspector positions to specifically coordinate cleaning efforts with office staff and the custodial cleaning crews. These day inspectors serve as full time liaison to monitor ongoing concerns for continuing to upgrade building cleaning, the clearing of trash and furniture in the hallways, and other frequent complaint matters relating to cleaning.

2. A new quarterly tracking survey system has been created to evaluate services provided by the Superintendents's office. Surveys are performed by the three day inspectors who are also responsible for tracking corrective action and other suitable responses.

3. In response to a common complaint about dirty and dusty venetian blinds, a new venetian blind cleaning program has been developed. Funds were requested and appropriated for fiscal year 1990 for a special venetian blind cleaning machine; this machine is in the

process of being procured. Additionally, the present cleaning force is being evaluated to identify individuals who can be detailed to this special venetian blind cleaning program.

4. All cleaning assignments are being evaluated, and cleaning standards are being developed based on cleaning assignments. This process will clearly delineate the responsibilities and duties of the cleaning forces.

5. Floor care programs are being improved throughout the Senate Office Buildings. New programs are being evaluated. In addition, new marble and stone flooring care products are being evaluated. Recent developments within the cleaning industry may yield benefits to the Senate Office Buildings floor care program.

6. Central Office staff have continued to support supervisory training efforts for all current and new supervisors to ensure that all personnel are given proper supervision and oversight in the completion of their tasks.

SENATE SUBWAY

The committee provided $3,000,000 in the Architect's FY 1990 appropriation for a subway system once an appropriate design and financing plan have been approved. You have included $3,000,000 in your budget for this project.

Question: Please update the committee on the progress of this project.

Response: Bids have been received and final negotiations with the low bidder have been completed. We are awaiting the availability of additional funds to allow the implementation of a contract. The Contractor is willing to begin the process of design, mobilization, and documents preparation and submission at this time with the funds currently available, on the presumption that the remaining funds may be made available in the fiscal year 1991 appropriations. I recommend that you authorize me to proceed to contract on that basis up to the limit of $1.5 million currently available. The contract documents require that the complete subway replacement including cars, tracks, and controls be constructed and tested off-site. The Contractor has three months on each track to install an operating system. One track must remain operational as a shuttle at all times during the construction period.

You are requesting $26,000 for maintenance on the existing subway system.

Question: Does this include all the costs of keeping the existing system in operation?

Response: Yes, insofar as maintenance is concerned. The existing subway equipment will be maintained, barring a major failure, by our in-house maintenance forces.

Question: How reliable is the existing system? Do we have a lot of downtime at present? What do you predict the lifetime of the present system to be?

Response: The reliability of the existing subway equipment is questionable. The continuing availability of the existing equipment is due primarily to excellent work by the dedicated subway maintenance crew. The useful life of the existing equipment is limited due to out-of-date technology, and unavailability of spare parts.

Question: What are the limitations and problems with respect of the existing system? How will the modification you propose remedy them?

Response: The basic limitations of the existing subway system are its high overall maintenance and operating cost, its lack of capacity to move Senators and staff quickly from the Senate Office Buildings to the Capitol due to the shuttle arrangement, and the probability of catastrophic failure with old cars and frames. Reliability of the existing equipment poses a significant limitation. The proposed new system increases reliability due to the design of the equipment. The new loop system will operate at much lower cost, will move many more passengers in the shortest amount of travel time, and with a shorter waiting time, using computer controlled cars with no operators and with scheduled start and stop action.

FURNITURE

You are requesting 14 additional positions and over $1,000,000 for the implementation of the new furniture policy.

Question: Describe what the new furniture policy is; the reasons for the increased cost; and the need for more personnel.

Response: The Furniture, Accessories and Special Allowances Policy for Senate Office Buildings, adopted by the Rules Committee in fiscal year 1989, included implementation costs as well as other identified annual costs. Included in that policy were fifteen provisions, summarized below.

1. The Architect of the Capitol, through the Superintendent of the Senate Office Buildings, supplies and maintains Senate Office Buildings furniture under the jurisdiction of the Senate Committee on Rules and Administration.
2. The Senate Office Buildings Superintendent is to undertake an annual quality inventory of Senate Office Buildings furniture.
3. Items in disrepair shall be repaired or declared surplus.
4. The Superintendent will maintain a full inventory of approved furniture and furnishings.
5. Only a Senator or designated Office Head may request furniture and furnishings. These requests must be made using a "Request for Service" form.
6. This provision lists the nearly 100 items that the Architect of the Capitol shall maintain in inventory.
7. A "Special Furniture and Accessory Allowance" is established for Senator's personal offices, reception and conference rooms.[1]
8. A "Request for Service" will be acknowledged within five working days,
9. Certain items may be built according to published plans, maintained in the Superintendent's office.
10. Office Head may submit to the Rules Committee at any time a request to add items to the inventory list provided in provision #6.

11. Furnishings purchased under the "Special Furniture and Accessory Allowance" may be returned to the Architect of the Capitol inventory and subsequently purchased with personal funds at a cost derived at using a depreciation schedule.
12. The Committee on Rules and Administration, in consultation with the Architect of the Capitol, will monitor requests for non-standard items to assure architectural conformity of the Senate Office Buildings.
13. A Senator's Official Personnel and Office Expense Account may not be used to purchase furniture.
14. All furniture and furnishings remain the property of the Architect of the Capitol.
15. This policy's implementation is subject to the appropriation of sufficient funds to carry out its provisions.

[1] Policy guidelines for this provision were approved by the Senate Committee on Rules and Administration May 10, 1990, and will be issued to Senators' offices in the near future.

A complete description of this policy may be obtained from the Senate Committee on Rules and Administration or from the Architect of the Capitol.The Senate Appropriations Committee in its report S. Rept. 101-106 directed the Architect "to proceed with the newly approved furniture and furnishings policy" with "funding.... to be derived from within existing resources.". The Committee further directed that it "would address a budget request for this need in fiscal year 1991".

An analysis of the labor requirements of the Furniture Division was provided to the Chairman of the Committee on Rules and Administration in a July 12, 1989 letter from the Architect. That letter indicated that the need for additional personnel for this division was a need separate and apart from the implementation requirements of the new policy and that the actual present staffing levels were not commensurate with the prevailing workload of this division thereby creating a situation whereby there was "inadequate capacity to properly maintain existing furniture". The estimates for additional labor reflect present needs which the newly established policy brought into focus. In 1980, prior to the completion of the Hart Building, the number of employees, including full time equivalents, associated with furniture needs totalled 35. In 1983, after occupancy of the Hart Building, an additional 7 were provided, bringing the total to 42. Later, by adjusting internal assignments, without requesting additional funding for staff, we added another 12 persons for a present total of 54.

A comparison with furniture activity on the House side is instructive. The Senate has roughly two thirds the number of employees as the House and approximately two thirds the number of furniture units. The House employs 150 people for all purposes associated with furniture. On that basis, the Senate should have about 100 employees as compared with the 54 presently employed on the Senate side. On the presumption that the Senate can operate on a leaner basis than the House, a total of about 75 employees would appear to be reasonable. This request is for an additional 14; that would bring the total to 68 which, again, are needed irrespective of the implementation of the proposed furniture policy. The Senate Committee on Rules and Administration approved the Furniture, Accessories and Special Allowances policy September 27, 1989.

Question: How many personnel or workyears are committed to the current furniture policy? Why do you need 14 more?

Response: As stated above, a comparison with furniture activity on the House side is instructive. The Senate has roughly two thirds the number of employees as the House and approximately two thirds the number of furniture units. The House employs 150 people for all purposes associated with furniture. On that basis, the Senate should have about 100 employees as compared with the 54 presently employed on the Senate side. On the presumption that the Senate can operate on a leaner basis than the House, a total of about 75 employees would appear to be reasonable. This request is for an additional 14; that would bring the total to 68 which, again, are needed irrespective of the implementation of the proposed furniture policy.

Your justification also describes these 14 additional positions as "needed irrespective of the implementation of the proposed furniture policy."

Question: Are these new positions required by the new furniture policy or by some existing unaddressed need?

Response: The fourteen new positions for the furniture division are required to provide needed support to the Senate furniture and furnishings operation. At the present time, there are inefficiencies that create backlogs of repair and upholstery work.

As stated above, an analysis of the labor requirements of the Furniture Division was provided to the Chairman of the Committee on Rules and Administration in a July 12, 1989 letter from the Architect. That letter indicated that the need for additional personnel for this division was a need separate and apart from the implementation requirements of the new policy and that the actual present staffing levels were not commensurate with the prevailing workload of this division thereby creating a situation whereby there was "inadequate capacity to properly maintain existing furniture". The estimates for additional labor reflect present needs which the newly established policy brought into focus. In 1980, prior to the completion of the Hart Building, the number of employees, including full time equivalents, associated with furniture needs totalled 35. In 1983, after occupancy of the Hart Building, an additional 7 were provided, bringing the total to 42. Later, by adjusting internal assignments, without requesting additional funding for staff, we added another 12 persons for a present total of 54.

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Question: Please describe the furniture replacement projects currently in progress or planned for the Hart, Russell, and Dirksen buildings. What is a realistic time frame for completion these initiatives?

Response: The replacement of traditional furniture with "systems" or modular furniture has been underway in Senators' offices in the Hart Building for approximately seven years. A continuation of this program in the Russell and Dirksen Buildings, that is, providing modular furniture to Senators, began in FY 1990. Another program, to install modular furniture in committee and staff space in all buildings, is requested in FY 1991, the Hart Building being recommended as the first to be so equipped.

Installation of the modular furniture in Senators' offices in the Hart Building occurred over a period of seven years total. Providing funding is available it is estimated that it would take five additional years beyond FY 1990 to install modular furniture in Senators' offices in Russell and Dirksen. The length of time that it would take to install modular furniture in committee and staff space is estimated to be ten years based upon adequate funding of the program.

The continued use of traditional furniture in the buildings involves an ongoing process of procurement, maintenance and repair, and ultimately surplusing after the useful life. The installation of office automation in the Senate has required great emphasis on furniture that allows staff to operate office stations in the most productive and efficient means. Procurements of specialty furniture to meet these needs plus the introduction of new furniture items such as ergonomic seating, lateral files, etc. will be coordinated with the other ongoing furniture programs requiring additional funds over the next five to ten years based upon funding levels.

The new furniture policy will be implemented over a period of two or more years based upon design, installation, labor and funding considerations.

Question: What is the total amount requested to meet furniture/furnishing needs in your FY 1991 budget, and how does this compare with funds obligated in Fiscal Years 1988, 1989, and 1990 to date?

Response: The following table is supplied for the record.

Senate Office Buildings
Furniture and Furnishings Summary

	Actual FY 1988	Actual FY 1989	Actual FY 1990 As of 3/31/90	Request FY 1991
ANNUAL FUNDING				
Annual Furniture & Furnishings............	$ 114,317	$ 269,234	$ 192,365	$ 425,000
Rugs & Floor Coverings....	19,902	266,933	40,471	290,000
Purchase of Specialty Furniture...............	.....	.....	92,237	500,000
Modular Furniture for Russell and Dirksen Buildings...............	.....	.....	.....	1,500,000
Implementation of New Furniture & Furnishings Policy..................	.....	.....	.....	1,150,000
Furniture & Furnishings, Hart Building..........	.....	.....	.....	1,500,000

	Actual FY 1988	Actual FY 1989	Actual FY 1990 As of 3/31/90	Request FY 1991
Items to Meet Existing Furniture & Furnishings Policy	.....	.....	.....	673,000
Subtotal, Annual Funding	$ 264,219	$ 336,167	$ 325,073	$6,038,000
NO YEAR FUNDING				
Furniture & Furnishings, Hart Building	$1,380,661	$1,354,975	$ 38,661	.....
Furniture & Furnishings, Annual	131,040	(-) 6,371	.....	.....
Furniture & Furnishings, Annual (P.L. 100-202)	219,342	(-) 1,066	(-) 180	.....
Senator's Special Furniture Allowance	.....	.....	839	.....
Furniture & Furnishings Inventory	.....	.....	18,439	.....
Subtotal, No Year Funding	$1,731,043	$1,347,538	$ 57,759	.....
Total	$1,995,262	$1,883,705	$ 382,832	$6,038,000
Furniture & Furnishings, Immigration Building	.....	$ 666,775	$ 215,250	.....

Note: Fiscal Year 1990 obligations are through 3/31/90, and represents only partial year obligations.

The committee directed that a furniture inventory system be developed for the Senate office buildings. In your request you indicate that a portion of the $673,000 requested for items to meet existing furniture/furnishings policy will fund improvements to the existing automated inventory system.

Question: Is this system currently up to date or will there only be an accurate inventory when the bar code system is operational?

Response: The inventory system is not considered accurate or up to date at present. Bar coding equipment, labels, software and hardware are presently on order. Personnel have been interviewed to serve as inventory clerks when all of the needed system components arrive.

Question: Will this inventory system and new furniture policy help to alleviate the problem of furniture storage in the corridors for the Capitol and Senate Office Buildings?

Response: The new policy, which applies to the Senate Office Buildings, should minimize this historic problem in the Senate Office Buildings. It will expedite the issue and return of furniture items, and allow for more rapid responses to requests from Senate offices.

SENATE OFFICE BUILDING
ELEVATOR DESIGN, REPAIR, AND INSTALLATION

You are requesting an $8,000,000 increase for the design and construction of new elevators for the Dirksen and Russell Buildings. In last year's record, you indicated that detailed utilization data to support the construction of additional elevators would be presented in an upcoming consultant's report.

Question: Please discuss this report and its findings.

Response: The Consultant's report presented the findings of the traffic analysis for the elevator systems in the Russell, Dirksen and Hart Senate Office Buildings. Their task was to determine requirements for improving elevator service for critical periods during the operating day and to make recommendations as to how to satisfy these requirements.

The analytical analysis is predicated on accepted standards for vertical transportation service and focuses on population densities, time-motion studies and personal professional judgement.

The analysis indicated there is a definite need for improvement in the elevator systems. Three conditions of peak elevator traffic were considered: the morning incoming period when the system should provide elevator service for 12.5 to 15% of the staff and visitors' population in 25 to 35 seconds; the two-way traffic period expected throughout the day when 12 to 15% of the staff and visitors' population should be handled in 30 to 50 seconds; and lastly, the peak traffic period created by the necessity to transport the Senators to the Capitol in response to the signal for a roll call vote. The last period was considered as an outgoing peak. The consultant used a period of 5 minutes maximum to provide transport to the basement for the Senators.

The provision of elevator service for Senators is considered critical. At present, two elevators each, in the Dirksen and Hart Buildings are dedicated to this function, and two cars each in three banks are used "on demand" as required in the Russell Building. The Consultant's study indicated multi-car banks in the Dirksen and Hart Buildings are needed to satisfy this service, while the Russell Building can meet the Senators' outgoing needs with 1 car, but requires 3 car banks to meet incoming and 2-way traffic.

The Russell Building elevators can meet the minimum handling capacity requirements for staff and visitor traffic if 3 of the existing passenger cars are used, but the criteria for the maximum average interval cannot be met under peak traffic conditions unless 3-car banks are used. The current elevator configuration is 2 cars maximum in a group, and the interval requires groups with larger numbers of cars to provide faster service. Under non-peak conditions the criteria probably can be met by the existing groups.

The Consultant's analysis indicated that, in the Dirksen Building, the 7 passenger cars (2 cars being dedicated to Senators) will not meet the handling capacity requirement of the staff and visitors and will require additional multi-car banks (3,000-pound cars operating at 500 fpm). The average waiting interval during the incoming and two-way traffic period cannot be met unless at least a 3-car group is used.

The Hart Building will require all 12 existing cars plus at least 2 additional 3,000-pound, 500 fpm cars to satisfy the handling capacity for the staff and visitors. The intervals are excellent because of the current grouping of elevators in 2 banks. Two 2-car banks of 3,000-pound, 500 fpm elevators should satisfy the traffic demands. The Senators only service will continue to be provided by the existing elevators. This will be accomplished through the installation of a modern computerized control system funding for which has been requested for FY 91.

The attached table summarizes the conclusions of the engineering analysis.

The Consultant's report focused on average population disbursed evenly throughout the buildings and does not factor in localized concentration of traffic and operational functionality of each building. This judgement is provided by the Architect of the Capitol's engineering staff and the Superintendent of the Senate Office Buildings.

Additionally, this report also discusses the positive impact of installing computer-based group control systems for combining existing banks of elevators with new additional elevators for increased functionality. The installation of computer-based group controls will provide enhanced service through the utilization of multi-car systems to reduce the floor waiting times. This approach is being actively pursued by the Architect of the Capitol in cooperation with the design consultants.

The modernization of existing elevator systems is part of the overall capital improvement program for Senate Office Buildings elevator systems which will be "piloted" as part of the modernization of Elevators 3&4 (northwest bank) in the Dirksen Senate Office Building scheduled for installation in the Fall of 1990.

As indicated by the consultants analysis, summarized on the attached table, the report supports the need for at least 10 additional elevators for the Senate Office Buildings as requested by the Architect of the Capitol. It is the considered judgement of the Architect of the Capitol that strategic placement of additional elevator systems such that they can be effectively "grouped" with existing upgraded elevator systems, the buildings will be adequately served at minimum expense and inconvenience.

A detailed presentation will be submitted shortly transmitting to the Committee the recommended design alternatives for adding elevator systems to the Senate Office Buildings. These designs incorporate "creative" engineering and architectural approaches which are based on the "reality" of constructing shaftways and elevator systems within fully occupied and operating facilities while focusing on meeting the needs for improved vertical transportation.

This is a multi-year effort for which total funding has been requested on a no-year basis to allow for procurement of these systems under a common bid package to maximize the financial and management benefits of a consolidated approach.

SUMMARY TABLE: CONSULTANT'S ELEVATOR TRAFFIC ANALYSIS

Existing Elevators

Building	Population	# of Floors	Passenger Elevators	Service Elevators	Total Elevators
Russell	1,060	5	12	2	14
Dirksen	3,640	10	9	4	13
Hart	3,700	12	12	3	15

Required Passenger Elevators: Senators

Building	Population	# of Floors	Existing Elevators	INTERVAL		HANDLING	
				Total Required	Add'l Required	Total Required	Add'l. Required
Russell	15	5	2[b]	3[d]	1	1	<1>
Dirksen	35	10	2	3[d]	1	1	<1>
Hart	50	6[a]	2	8[e]	6	1	<1>

Required Passenger Elevators: Staff & Visitors

Building	Population	# of Floors	Existing Elevators	INTERVAL		HANDLING	
				Total Required	Add'l Required	Total Required	Add'l. Required
Russell	1,045	5	10[c]	18[d]	8	4	<6>
Dirksen	3,605	10	7	16[e]	9	14	7
Hart	3,650	12	10	10[e]	0	14	4

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a. Assume Senators Access Floors B, G, 1, 3, 5, and 7 Only.

b. Senators Have Priority Use of 6 Elevators On Demand. Assume Senators Use 6 @ 33% = 2.

c. Senators Have Priority Use of 6 Elevators On Demand. Assume Staff & Visitors Use 6 @ 67% = 4 + 6 = 10.

d. 3 Cars Minimum Per Elevator Bank Required to Meet Waiting Interval.

e. 4 Cars Minimum Per Elevator Bank Required to Meet Waiting Interval.

I could not help but notice that the Cannon and Longworth project is also estimated at $8,000,000.

Question: Can we assume that the work is as similar as the estimates would suggest?

Response: Yes. The current concept study for the Senate Office Buildings, while incomplete at this time, calls for the installation of approximately 10 new elevators. This is the same number as recommended for the Cannon and Longworth Buildings. The specific locations will depend upon current and projected traffic patterns as well as concerns for complexity and cost of construction.

Last year, I asked what the range of cost would be for the installation of new elevators. The response was approximately $600,000 an elevator.

Question: If this estimate is correct then we can assume that you are planning to build 12 or 13 additional elevators. How many do you plan to install?

Response: The concept cost estimate for the Cannon and Longworth Buildings is approximately $800,000 per elevator. A more exact cost estimate has not, as yet, been developed for the Senate Office Buildings.

Question: Have you considered any alternatives other than construction to alleviate the need for vertical transportation?

Response: Yes. The modernization of the existing elevator systems is also considered an important element for improving vertical transportation service. However, in order to accommodate visitors and the current and projected population of the Senate Office Buildings, construction of additional elevators is the only real viable solution to improving elevator service.

An additional $1,200,000 is being requested to design and install elevator controls in the Hart Building.

Question: Please describe the need which justifies this work, and highlight the work which is to be done.

Response: The elevator control system in the Hart Senate Office Building was designed and installed prior to the advent of fully computerized control systems and does not have the flexibility and functionality required to properly serve the building. For example, the system cannot be easily reprogrammed to support rush hour traffic or special events, nor can it self diagnose and correct operational problems when they occur. A new computerized control system will provide more efficient utilization of existing elevators.

Question: What components of this new system have made it such a high cost item?

Response: In addition to the computerized control system itself, modifications to operational components such as the motor generators, hoist motors, and selectors will be required. Together, these modernization costs may appear to be excessive, but are substantially less than other alternatives for increasing the system efficiency, such as completely replacing the existing system.

EAST PLAZA IMPROVEMENTS

Last year we discussed the removal of the parking lot from the East Plaza. Your plan envisioned two fountains and belgian block marble to replace the parking lot.

Question: Is there any request for the East Plaza in this budget?

Response: There are no funds requested by the Architect of the Capitol in the fiscal year 1991 budget for the East Plaza.

Question: Have your plans for the plaza changed since last year?

Response: No. In September 1989 the Architect submitted a proposal for the allocation of $250,000 of the funds available to the U.S. Capitol Preservation Commission for design of improvements to the East Plaza, including the installation of two fountains that have been donated for use on the East Plaza, as well as using $50,000 for design of restoring the Statue of Freedom. Since the Commission has not yet met, no further action on this matter has been taken.

Once the Commission determines whether or not these proposals should proceed, both the House and Senate Subcommittees on Legislative Branch Appropriations will be apprised of the status of the proposals and their design. Once design has been accomplished, the Commission and the Legislative Branch Subcommittees on Appropriations will be apprised of the estimates for the projects, and a request will be made for their approval for funds to proceed with that work.

CAPITOL BUILDINGS

WATER DAMAGE TO OLD SENATE CHAMBER

Last year there was concern over water damage in the Old Senate Chamber located in the Capitol Building. You assured us that the problem would be taken care of.

Question: Has there been any more water damage since last year?

Response: There has been no further water damage in the Old Senate Chamber. The previous water damage was caused by a build up of melting snow in the oversized gutter above the Old Senate Chamber. Fortunately, there was insufficient snow build up during the past winter to cause a problem. The situation will be closely monitored each winter to avoid further problems.

HAZARDOUS WASTE

Question: You are requesting $350 thousand for a hazardous waste disposal program. What hazardous wastes have accumulated in the Capitol?

Response: A current listing of hazardous wastes stored at the Capitol Power Plant's coal yard follows.

Breakdown on Hazardous Waste
On-Hand at the U.S. Power Plant, Coal Yard
as of 01-29-90***

Number and Type of containers		Waste Description
69	55 gallon drums	Oil Products
11	35 gallon drums	Oil Products
3	55 gallon drums	Refrigerants
4	55 gallon drums	Gear Oil
2	55 gallon drums	Contaminated Fuel Oil
13	55 gallon drums	Paint Products - Liquids
3	55 gallon drums	Paint Products - Solids
42	5 gallon pails	Obsolete Lead & Oil-based Paints
3	25 gallon drums	Spent Grease
52	55 gallon drums	UNKNOWNS
68	55 gallon drums	EMPTIES - those dried-out drums that at one time contained some unknown material(s), and therefore, have become unacceptable at the Lorton Landfill without laboratory certification as to their content.
11	55 gallon drums	RESIDUES - those drums that contain a residue of some unknown material(s), and therefore, are unacceptable at the Lorton Landfill without laboratory certification as to their content.
60	Batteries	Lead Antimony Acid Type
12	Batteries	Large, Truck Type

*** MORE OF THE SAME KINDS, AMOUNTS AND MIXES OF HAZARDOUS WASTE CAN BE EXPECTED TO ACCUMULATE PRIOR TO THE START OF DISPOSAL ACTIVITIES.

In addition, it can be anticipated that additional materials will be added to the stockpile prior to the commencement of this requested activity for fiscal year 1991.

These materials have been accumulating over the years and must be disposed of properly in accordance with EPA requirements.

It is believed that once efficient hazardous waste policies and programs are developed and implemented, it will take approximately two to three years for waste stream patterns to develop. Once patterns evolve, costs will be much easier to track and predict. Tightening regulations and constantly changing treatment and disposal costs may, however, negatively affect the predictability of costs. The stockpiled wastes should be removed quickly and efficiently in order to meet the requirements of Federal and District law, to assure that the waste containers remain in good physical condition and are capable of also being used as transportation containers, and to avoid further price increases or regulatory complications.

The evolution of waste stream patterns will also, in all likelihood, establish this organization as a Small Quantity Generator in accordance with the appropriate sections of the Resource Conservation and Recovery Act (RCRA) and the subsequent Hazardous and Solid Waste Amendments. These laws are administered by the EPA. By striving to maintain ourselves as a Small Quantity Generator; we should be able to remain, for all practical purposes, self-regulated.

The estimated costs of the disposal activity are high due to the following reasons. The numbers and costs of labels, protective suits, gloves, drums, pails, pumps, and other packaging and handling equipment can not be accurately estimated until the stockpiled materials begin to undergo processing; and in some cases, not until the storage containers are moved and their stability judged. Labor costs can not be accurately estimated until work actually begins. This situation can be further complicated if any of the containers rupture, or any other unusual labor- or machinery-intensive activities are needed to mitigate dangerous situations prior to shipment. Transportation costs can not be accurately estimated as regulations change and certain landfills, or waste processes, become unavailable. These changes can result in longer or more complicated transportation efforts, and resultant cost increases. The uncertainties that can occur during the long chain of events that must take place between packing for shipment and final disposition can cause disposal costs to be high.

SENATE RESTAURANT

Last year the committee approved a funding transfer to recapitalize the Senate Restaurant Revolving Fund. We were told at that time that this funding plus other measures would place the Restaurant on a sound basis. I note that there has been a recent price increase in Senate Restaurants.

Question: Are the increased prices generating enough revenue to keep the restaurant in the black?

Response: The Committee on Rules and Administration approved a menu price increase for the Senate Restaurant, which was effected the 1st of January, 1990. The increase was a major consideration in projecting the solvency of the Senate Restaurant for fiscal year 1990. After the first six months of operation in 1990, we have not detected any trends that would lead us to believe that our forecasts are not accomplishable.

Question: What other means have been instituted to reduce cost?

Response: As the result of an audit by the Architect's Internal Auditor, programs have been implemented to improve internal security and purchasing procedures. The freeze placed on staffing certain positions during the last fiscal year has been rescinded, permitting additional staffing to improve product and service, and yet, continue to operate below fiscal 1988 staffing levels by 5 full time positions. Additional steps have been taken to improve capability for cost control through the acquisition of Remacs (restaurant management computer system). The system has been procured and is expected to be brought on line in October 1990.

LIBRARY OF CONGRESS RENOVATION

You have included a report on the progress of the renovation of the Adams and Jefferson Buildings in your FY 1991 Budget Justification. In this report you list delays in various phases of the work.

Question: What is the current schedule for the completion of Phase I? What caused the delay?

Response: Phase I was substantially complete in December 1989, three months later than the scheduled completion date specified last year. Phase I was originally anticipated to last for 29 months; its actual completion time was 40 months, or eleven months longer than originally scheduled.

The total delay resulted from modifications in contracting methods in order to reduce costs, unforeseen conditions discovered with "the patient was opened up," more than the anticipated delays resulting from working in an occupied building, some changes required by the Library, and some contractor inefficiencies.

Due to the requirement to split the project into separate contract packages, ten separate packages were identified and subsequently developed. In effect, this caused a partial redesign effort for the project. Four separate associate architect, engineer, and scheduling consulting contracts were issued to assist the AOC staff in preparing these contract packages. This was required due to the complexity of the contract package development as well as the need to prepare the packages as soon as practicable. Additional time was thus required for the preparation of the packages, including necessary redesign, bidding process, addenda, etc. for each package.

In addition to the delays caused by separating the renovation into contract packages, delay was experienced due to the need to develop "phase lines" in order to split the work in each building in half. The analysis of the existing electrical and mechanical systems and the required modifications to them had to be reviewed and modified to allow for half of each building to remain occupied. Also, there was a need to erect barriers to separate the construction and occupied areas, while at the same time maintaining emergency egress routes for both construction and Library staff. The construction and coordination of the location of these barriers required additional changes to the contract packages.

Once the Milestone II work commenced additional problems arose. As to be expected with any restoration project, unforseen and unknown conditions were found. For example, at one location new duct work was required to be installed behind an existing wall. Once that wall was removed, another wall was discovered behind it. This unforseen and unknown condition required an analysis of the newly discovered wall to determine if it could be removed. Based on that analysis, a redesign of the area was necessitated. Another example of unforseen and unknown conditions that occurred was when conduits were discovered in a ceiling. This required determining what the old conduits were for, whether they could be removed or relocated, and what would have to be done to reroute the new conduits that were to be installed where the old ones were discovered. These are just two small examples of job conditions that were experienced that caused delays in the completion of Milestone II.

Coordinating the renovation work so as to minimize disruptions to the occupants and operation of the Library also affected the progress of the construction work.

Some specific changes were requested by the Library which required additional design efforts not originally anticipated. The Library requested that the Police Alarm Center be relocated, and also requested that the Computer Center be redesigned. These areas had to be withdrawn from the contractor's work, redesigned, and then added back to the scope of the project. Delays were thus caused while this effort progressed.

Finally, the contractor experienced inefficiencies in his performance of the work. As with all renovation projects, there is a learning curve for the contractor. Workers must learn the layout of the building and how to get around in it. The contractor must determine by experience the most efficient means of providing and storing tools, materials and equipment. The contractor must revise staffing patterns once actual experience with the work is gained in order to meet specific needs. These factors all contributed to initial inefficiencies, which were by and large eliminated by the end of the Phase I work.

All these factors contributed to the overall delay of eleven months for the Phase I work.

Question: When will Phase II begin?

Response: Phase II work has already begun in some interim occupancy spaces. The Phase II renovation work (Milestone IV) is scheduled to begin October 1990.

The most recent scheduled completion is November 1992 (original completion was set at November 1990).

Question: Is this still the target date? How do you account for the delays?

Response: November 1992 is the scheduled completion date for Milestone IV. See answer above.

Question: Are you doing the colonnade revisions requested by the Librarian? At what cost?

Response: The colonnade revisions requested by the Librarian are in the design process. Final design is anticipated by the end of February 1990. A cost estimate of that work will be prepared at that time.

WASTE RECYCLING

The committee report last year directed you to institute a pilot solid waste separation and recycling program for one of the Senate buildings. A report describing the results of the program is due by April 1, 1990.

Question: Please update the committee as to the results which you have seen thus far.

Response: The Office Waste Recycling Pilot Program (OWRPP) has been going well with excellent cooperation from the participating offices. Following is a copy of the Interim Status Report on the OWRPP. A final report will be issued in August.

OFFICE WASTE RECYCLING PILOT PROGRAM
INTERIM STATUS REPORT
APRIL, 1990

The Office Waste Recycling Pilot Program (OWRPP), administered by the Architect of the Capitol (AOC), is an expansion of the existing AOC's waste materials recycling program. The OWRPP was authorized by the Legislative Branch Appropriations Act, 1990 (PL 101-163) and was initiated on October 1, 1989. The primary focus of the OWRPP is on paper recycling but the program also incorporates the recycling of aluminum, glass and plastics. The Congress directed that a one year pilot program be established to collect firm data on the costs and benefits of an expanded recycling program. The pilot program's success relies on Congressional staff cooperation as well as effective planning, coordination and monitoring by building maintenance staff.

The OWRPP was established with the following eight sequential start-up components:

1. The Committees on Appropriations of the House and Senate, the Committee on House Administration, and the Senate Committee on Rules and Administration directed the AOC to implement the OWRPP including authority to expend start-up funds for this purpose.

2. The AOC appointed a Program Coordinator, from the office of the AOC's Director of Engineering. The Coordinator prepared promotional and explanatory information which was distributed to each office included in the program.

3. The collection containers that were procured have printed informational labels that describe the type of waste to be deposited. As the criteria for material to be collected is modified because of contractual changes, the container labelling will also be modified accordingly.

4. A survey of the offices to be included in the program was conducted by the AOC. The survey determined the number of office personnel, the types and grades of paper and other products used, the potential location of collection containers for the recyclables for each office area, and the storage space for the Building Superintendents' carts and bins.

5. In each office, the Member or Staff Director appointed a staff member to be the recycling liaison person who serves as the contact for the recycling program. It was recommended that this individual be familiar with the Member's office procedures. This requirement resulted in recommending that the recycling liaison individual be the office manager or other permanent responsible staff member.

6. Training sessions were held by the AOC for the custodial forces in each building to ensure the correct flow of office paper types from collection containers in the offices to the storage carts or bins.

7. Information sessions were held with all office recycling liaison persons that included information about the mandate for the program, the reasons for recycling office paper and other products, how each user participates, the expected reduction in the waste stream from the collection, and the anticipated benefits to the Congress from expanded recycling within the Capitol Complex.

8. Methods of record keeping, building monitoring, reporting and scheduling have been developed and implemented by the Program Coordinator.

Vendors have been chosen for the two pilot sites, i.e., the Rayburn House Office Building and the Hart Senate Office Building's 5th and 6th floors. There are approximately 3,000 Congressional employees in these buildings participating in the pilot program.

Refuse from the buildings was analyzed for approximately one month prior to initiation of the pilot program in order to compare the reduction in the waste stream attributable to the removal of high grade office paper and other recyclables.

Using national data, it is estimated that each office worker will produce one half to one (0.5-1.0) pound of recyclable paper per day. However, with the pre-program publicity, quantities of materials being collected per person are exceeding the national average by a factor of approximately 30-50%. Experience has shown that employees actually saved paper for recycling prior to initiation of collection. Additional collections were required during the early stages. The OWRPP was publicized through several mechanisms to disseminate information to interested entities.

In order to establish a cohesive system, a structure was developed that relies upon cooperation of the recycling liaison person in each office. A listing was created with office, name of the liaison person, an alternate, the telephone number and the number of staff in each participating office. The responsibilities of the liaison person are to act as an information source for the other employees, provide information and orientation to new employees, and report any problems or inquiries to the Building Superintendents' offices.

Before the collections began, meetings were held for all recycling liaison persons and other interested parties. The recycling liaison individuals were given an American Paper Institute booklet on paper recycling along with other reference material on recycling of non-paper products such as glass, aluminum and plastics.

An extremely important factor was the support of the Congressional Leadership along with the support of the AOC and the Building Superintendents.

- "Dear Colleague letters" were sent from the Chairmen of the Committee on House Administration and the Senate Committee on Rules and Administration.
- A pamphlet from the AOC's Program Coordinator was given to each employee explaining the program and its importance, and requesting each employee to attend a short orientation session.

Several articles have been published in Roll Call. Several weeks before the program started, orientation sessions were held for all participating employees. At the orientation sessions, a pamphlet describing the program was distributed to all participants. Individual "desktop" recycling containers as well as other containers were demonstrated. A question and answer period was incorporated in the session.

The collection equipment or containers were incorporated as part of the promotional effort. Each desktop and central collection container was designed to accept the appropriate House or Senate logo (at the Member's option), a list of acceptable and unacceptable materials, the recycling information telephone number and the slogans "Be Resourceful, Recycle", "When in Doubt, Leave it Out", and "I'm a Recycler".

A "Dear Colleague letter" was developed to provide follow-up information to participants in order to let them know how they are doing. In the future, we anticipate issuing a periodic newsletter to provide participants with an update on the tonnage collected, landfill capacity saved, trees saved, and other information important to them such as the projection of anticipated savings with full participation. Information may also be included regarding the most frequently observed problems such as colored paper, slick coated paper, and envelopes mixed in with white ledger paper. Explanation as to why they are unacceptable and how they negatively affect the program would be provided. A mechanism for instituting this newsletter is now under evaluation.

The AOC staff reviewed the types of systems used in surrounding jurisdictions and organizations. Collection containers, both desktop and centralized, that are durable and functional were purchased. Several different types of containers are being utilized with observation and comment from the staff to determine the ultimate container configuration. Based on the requirements developed, the AOC staff is evaluating the use of the appropriate desktop and central collection containers for other jurisdictions and locations.

Different types of desktop containers, both plastic and corrugated cardboard, are being evaluated. Many individuals have expressed concern with placing a container on top of an already cluttered desk. As a result, the boxes procured were appropriately designed to sit on the desk, floor or other locations. The boxes selected are secure, enabling them to stay upright when full.

The Program Coordinator met with custodial supervisors in both buildings prior to initiating the program to explain the operation and to gain their support and suggestions.

The Program Coordinator is supervising data collection, pickup schedules, paper testing and storage, as well as monitoring employee participation in the buildings. This process will continue to the end of the pilot program.

The office waste paper removed from the collection containers is being bailed or emptied into vendor-supplied containers. Once filled, the AOC's building superintendents' offices coordinate with the vendors to arrange for collection. When the vendor removes the full containers, empty ones are left in their place.

The Office Waste Recycling Pilot Program has involved a detailed series of procedures and sequential steps that require personal oversight, problem-solving and schedule adjustments. The key to success continues to be reliability, visibility, monitoring and promotion.

Question: Has the Office of the Architect encountered any difficulties in lining up vendors to purchase the recycled materials that will be generated from the pilot recycling program?

Response: The AOC has encountered some difficulties in locating vendors to purchase recycled materials. These problems have been resolved for the duration of the pilot program but will have to addressed on a continuing basis as the Office Waste Recycling Program moves forward in the future.

Question: What is the participation rate of the Senate offices eligible to participate in the program?

Response: All of the offices (total of 23 Member and Committee offices) on the fifth and sixth floors of the Hart SOB are participating in the pilot program. Within these offices we estimate that approximately 80% of the staff are actively and cooperatively participating in the voluntary pilot program.

Question: Is the program fully operational? What problems has the Office of the Architect experienced in administering this pilot program?

Response: The Office Waste Recycling Pilot Program (OWRPP) is fully operational. Along with the problems associated with the volatile market for recycled materials, the AOC has experienced anticipated problems that are the result of "change"; i.e., change in the logistical methods of waste collection and disposal as well as staffing and materials handling problems. As a result of lessons learned through the OWRPP, these problems are being addressed in a systematic and comprehensive manner.

Question: When can the Office of the Architect implement a recycling program throughout the Capitol complex and what is an estimate of the net revenue that would be generated?

Response: The AOC is anticipating the expansion of the OWRPP to the entire Capitol Complex at the beginning of FY 91 (October, 1990). The implementation of an office waste recycling program will be a gradual progression of "change". Based on current experience, it is anticipated that an implementation period of one year is optimal, pending the availability of funds.

Information is currently being gathered through the OWRPP which will enable the AOC to determine the cost benefit of an expanded Office Waste Recycling Program. As required by the law directing the AOC to implement the OWRPP, the AOC will prepare a report for the Committee on Appropriations which will address the economic issues involved. This report will be completed and sent to the appropriate Committees of Congress in August, 1990.

In your justification you have anticipated the current pilot program being expanded to all offices in the Capitol Complex, and are requesting a temporary position to manage the program. I noticed, however, that you have requested $150,000 for this position and the procurement of items relating to the program under Senate Buildings.

Question: Can you please clarify your request?

Response: It is anticipated that a full time Recycling Coordinator will be required to properly manage the recycling program. In addition, recycling containers for the office recycling stations will need to be procured.

Question: How much are you requesting for the temporary position or positions?

Response: We are requesting funding for one position to support the management requirements of the recycling program. Pending the results of the OWRPP, it may become desirable to establish several positions to form a "Recycling Team" to function independently of the normal custodial forces.

Question: What are the other elements of the request?

Response: The funding request is to support the procurement of the containers for the recycling stations and fund the necessary positions required to execute the Congressional directives in an efficient and productive manner.

Question: Why are you requesting a temporary instead of a permanent position?

Response: The position could be a permanent position should the Committee so desire.

Question: Do you have a program to reduce the production of hazardous waste in the Capitol Complex? How long will it take? At what total cost?

Response: Funds are requested in fiscal year 1991 for additional staffing and operation of a comprehensive hazardous waste management program for the Capitol Complex. In the past, individual shops and work sites made their own arrangements for hazardous waste disposal. The complexity of hazardous waste management mandated by the regulatory atmosphere requires that a comprehensive and coordinated management approach be taken to respond to prevent the backlog of hazardous wastes from growing.

The proposed one time disposal program consists of two steps. The first step is to identify and quantify the types of waste in the storage drums. This procedure is required by EPA waste disposal regulations. Once the types of waste are known, then qualified disposal contractors can be retained to properly dispose of the waste. In addition, once the types of hazardous waste are identified and a contractor is retained, a schedule can be developed. This project has received a high priority, as disposal of these wastes is required by law, and thus there will be a concerted effort toward expediting the process. The total estimated cost of this one time disposal of the backlog is $350,000.

On-going waste disposal is a much more involved process. This requires adoption of a hazardous waste management policy and staffing to meet the requirements of that policy. The hazardous waste policy should address the need for using hazardous materials, ordering those that are deemed essential, monitoring the paperwork to ensure proper delivery, storage, and use of such materials, developing and monitoring techniques for minimizing dangers when using such materials, and finally developing and monitoring the disposal of hazardous materials after they have been used, as well as those that are left over. The EPA has regulated record-keeping requirements for nearly every step of this process, including reporting requirements to EPA.

QUESTIONS SUBMITTED BY SENATOR DON NICKLES

Question: For FY90, the Subcommittee provided $3 million for the Senate subway system. You are requesting an additional $3 million for FY91. Please update the Subcommittee on what progress is being made on this matter. Is design proceeding at this time?

Response: The $1.5 million recently approved will provide for initial mobilization by the Contractor, initial detailed design efforts and preparation of detail documents in accordance with the contract requirements. Further negotiations with the Contractor will depend upon funds available to satisfy the contract schedule related to the negotiated contract price. It is not clear at this time whether the Contractor is willing to proceed past this point without firm assurance that the total negotiated price will be made available for this project.

Question: You are requesting $8 million for the construction of new elevators in the Dirksen and Russell Senate Office Buildings. Can this expenditure really be justified at this time?

Response: The number of elevators available to handle modern day traffic in the Senate Office Buildings is simply not sufficient without encountering undue delays and stoppages of service. The expenditure is required either now or in the immediate future. In any case, the addition of elevators will require at least 3 to 5 years to accomplish. In the meantime, we cannot afford to take existing elevators out of service for repairs and improvements, due to the significant reduction in service that will occur, until additional elevators are added.

Question: Over the last couple of years, the Subcommittee has provided you with substantial resources for preventive maintenance service on the Russell buildings elevators, and you are requesting an additional $150,000 in FY91 for design for computerization of elevator controls in the Russell and Dirksen buildings. In light of the money provided in the past, and the fact that you are now requesting money for new elevators, can we conclude that the money provided in previous years has been of little value maintaining efficient elevator service - especially in the Russell Building?

Response: Past maintenance funds and present requests have been and are of great value in maintaining the efficiency of the elevators; because of the age of the equipment, these costs continue to rise. New elevators are needed basically because even at 100% efficiency, if achievable, the number of existing elevators is not capable of carrying the passenger load that the increased population (since 1906) in the building has generated.

Question: Please provide us a list of all projects for which you are requesting FY91 appropriations that are subject to approval by the Rules Committee, the cost of each, the total for all, and indicate which have been approved.

Response: A tabulation of the projects follows. All projects were approved by the Senate Committee on Rules and Administration January 29, 1990.

PROJECT	COST
Capitol Buildings	
Renovations to ST-1, 3, 5, & 7, Capitol Building........	$ 73,000
Design for Plumbing Renovations, Capitol Building.......	272,000
Waste Recycling Program................................	50,000
Telecommunications Funding, Capitol Complex [1]	3,000,000
Total, Capitol Buildings..........................	$ 3,395,000
Senate Office Buildings	
Election Year Moving Cost, Senate Office Buildings......	$ 1,000,000
Paint Rotunda, Russell Building........................	72,000
Installation of Conduit, Russell Building to Capitol Building..	50,000
Refinish Exterior of Capitol Police Headquarters........	200,000
Waste Recycling Program................................	150,000
Install Lightning Protection System, Russell Building...	100,000
Work Stations for Capitol Exchange Telephone Operators..	75,000
Electrical System Renovation and Modernization, Russell Building [2]	1,000,000
Design of Plumbing System Renovations, Russell Building.	40,000
Planning and Design for Relocation of Computer Service Center..	500,000
Elevator Construction, Dirksen and Russell Buildings....	8,000,000
Design for Computerization of Elevator Controls, Dirksen and Russell Buildings.........................	150,000
Head End to Congressional Cable System..................	1,500,000
Elevator Control Modifications, Hart Building...........	1,200,000
Study and Design TV Lighting Systems, Committee Hearing Rooms...	250,000
Renovate Committee Hearing Rooms.......................	953,000
Uninterruptible Power Supply, Senate Computer Center....	500,000
Modular Furniture and Furnishings, Russell and Dirksen Buildings..	1,000,000
Furniture and Furnishings, Hart Building................	1,500,000
Total, Senate Office Buildings....................	$18,240,000
GRAND TOTAL...............................	$21,635,000

[1] "Approved with the understanding that the telecommunications plan makes no changes in the operational responsibility of the Senate for its telecommunications, and that the funds will be used only for planning related to the development of a telecommunications plan as set forth by Sec 305 of the Legislative Branch Appropriations Act, 1990, P.L. 101-163."

[2] "Approved with the understanding that the project will permit the design and installation of a wiring system that covers electrical, voice, video, image, and data, that the design will avoid unsightly cables and wires, that technology will meet industry standards and Senate needs for the next decade, that the wiring network simplifies suite moves and office reconfiguration, and that the information gained in the pilot study be utilized to gain greater efficiency."

Question: Please provide the Subcommittee with an update on efforts to replace the worn Minton tiles in the Capitol Building. How much of the

$1.5 million that was appropriated in FY82 has been obligated at this time? What is the projected schedule for finishing this project?

Response: To date $618,398.32 has been obligated. This covers the purchase and installation of tiles for Phase I; and the purchase of tiles for Phase II and Phase III.

The delivery of tiles has been scheduled in four phases: Phase I was installed in 1989, Phase II tile delivery was completed in 1990, Phase III tile delivery is expected in 1992 and Phase IV tile delivery is expected in 1994.

Question: You are requesting $3.1 million to replace the roof on the Madison Building. Please explain why it is necessary to replace the entire roof on this relatively new building. Is there no opportunity to have the original contractor come back and repair it?

Response: The roof of the James Madison Memorial Building that was completed in 1977 will have had a useful life of over 15 years by the time this project is finished. The original 20-year warranty against leaks decreases substantially in value as the roof ages and approaches its life expectancy. Because of rapid development in roof design, the original roof, although state of the art at the time of installation, is now out of date, and it is recommended that the roof be replaced with a new system rather than be inadequately patched. Under these circumstances, it is not possible to have the original contractor repair it.

Question: What progress has been made over the last year on repairing the roof of the Jefferson Building?

Response: The existing copper roofing system on the Jefferson Building has been made water tight on a band-aid basis that is probably good for about five years. However, over this period of time, we should be systematically replacing the original roofing with new material that should last for up to 50 years without major repair.

Question: In October 1988, the Subcommittee approved a reprogramming in the amount of $1 million for design work on the West Front Terraces. Has this design work been completed, and when will a further reprogramming be requested for construction on the project?

Response: The design work for this project is underway and is scheduled for completion this summer. At that time firmer estimates will be available and a reprogramming request for the construction phase will be made.

Question: In 1989, the Subcommittee approved a reprogramming in the amount of $1.2 million for the design of the proposed West Front Courtyard Additions. Please provide an update on this project.

Response: The design of the West Central Front courtyard additions is underway in conjunction with the project for the repairs of the West Front Terraces. The design schedule is the same as for the West Front Terrace project and construction is expected to be completed in the fall of 1992.

Question: It is my understanding that plans are being prepared for an expansion of Senate restaurant services by renovating the south servery area. Please provide the Subcommittee with an update and cost estimates of this project.

Response: Designs for the rehabilitation of the Senate servery area will be completed this summer. Construction is scheduled to begin in April 1991 and should be completed by the end of December 1991. The cost estimated for the project is $676,000. Of that budgeted amount $500,000 has been frozen.

Question: You are requesting $40,000 for 100 new trash receptacles for the Capitol Grounds. By my calculations, this comes to $400 a piece.

Response: The term "trash can" is perhaps a misnomer. The items that are requested to be purchased are decorative iron containers. These decorative containers hold a plastic trash can liner, which is included in the purchase price. There are already three of these which have been placed on the Capitol Grounds as a test to determine their suitability and durability. Thus far, they have performed extremely well. They are made so that they require minimal maintenance. The metal oxidizes in such a fashion as to form a rust barrier; similar metallurgy is utilized in bridge construction, as well as on other exterior structural projects.

The existing trash containers are made of wooden slats installed on a metal frame. A single metal post holds the containers upright. These wooden containers break often, the single metal posts rust and the containers must be replaced every five to ten years. The anticipated life expectancy of the requested trash containers is twice that. Although the initial cost may seem high, over the life expectancy of the containers (20 years) the cost is very reasonable.

Question: You are requesting $15,000 for the purchase of a new pick-up truck for the Botanic Garden. Is it not possible to purchase a pick-up for less than this amount?

Response: The amount requested for a new pick-up truck for the Botanic Garden, $15,000, is based on the current cost of such a vehicle, plus an anticipated escalationary cost increase.

Question: You are requesting $4,184,000 for the replacement of PCB Transformers and Cable. Furthermore, you are requesting that this be "no year" money. In light of the fact that $2,184,000 of previously appropriated "no year" money was reprogrammed during fiscal year 1988 and 1989, why should the Subcommittee agree to providing additional "no year" money if there is a chance that it will be reprogrammed as well?

Response: The technology relating to PCB removal is still in the investigative and experimental stage and is constantly changing. We have proceeded cautiously so far. However, we need sufficient funds available to contract for additional work as the need and the method of removal is determined. The technology is constantly changing as experience is gained by all involved.

Question: You are requesting $3 million for telecommunications for the Capitol Complex. The purpose of this funding would be to provide for the first phase of a backbone Private Integrated Digital Network (PIDN). Please explain what this system is, and how you can justify this expenditure at this time.

Response: At the direction of the Congress, this Office is tasked with the development of a telecommunications network to include all legislative branch agencies. Preliminary design and investigative efforts have indicated that a PIDN is feasible and will result in substantial savings over current procedures. It is not known at this time what the up-front costs will be but we believe that we need approximately $3 million dollars available to be able to proceed in this effort.

Question: You are requesting $88,000 for the purchase of two vans for shuttle service on the Capitol Grounds. Please explain how these vans would be used. How can you justify this expenditure at this time.

Response: The request for $88,000 to purchase two shuttle vans will provide the Capitol complex shuttle system with heavy duty vans that have been adapted to accommodate passengers with physical disabilities.

The vans presently being used for shuttle service are ordinary passenger vans. Although the service record on these vans has been very good, occasional problems, especially with drive trains and air conditioning, have led to examination of other means of providing shuttle service. In addition, in an ongoing effort to make all Capitol complex facilities and services available to persons with physical disabilities, a search was made to find shuttle vans that could accommodate wheelchairs and wheelchair lifts, and still leave sufficient room for the usual passenger traffic.

Because of these space factors involved in providing an area sufficiently large to accommodate wheelchairs and the lifts, the only shuttle vans that would provide that service are the special built heavy duty vans. These are the same as are seen at local airports and are used by some government agencies. These large, heavy duty vans have the added benefit of being built with extra air conditioning, and their drive trains are designed with constant stop and go driving in mind. As a result, it was felt that two of these vans would provide the shuttle service required for the Capitol complex. The main drawback on these vans is their cost: at $44,000 apiece they are not as inexpensive as normal passenger vans. Should the Committee determine that the high cost of the vans outweighs the provision of handicapped service, then the current leased vans will be able to continue to provide service to non-disabled staff.

Question: You are requesting $1 million for additional steam generating capacity at the Capitol Power Plant. Please explain what additional loads are foreseen that necessitate remodeling the steam plant to increase capacity.

Response: The steam generating capacity at the Capitol Power Plant has reached its limit. We cannot add any new major additional loads, such as a new office building, without expansion. The existing boilers are approximately 40 years old. Even though they are exceptionally well maintained, they will have to eventually be replaced. The recent concept study conducted by Bechtel Corporation indicates how and where additional capacity can be added. The next step is to proceed with specific design details that will include detailed and credible cost estimates for future budget purposes. The $1 millon dollars will fund this design effort. In any case, the construction of additional steam generating capacity will require 5 to 7 years at a minimum. We need to proceed with this process as soon as possible.

Question: Under Senate Office Buildings, there is a request for 14 new positions associated with the furniture and furnishing operations. What is the justification for these added positions?

Response: The fourteen new positions for the furniture division are required to provide needed support to the Senate furniture and furnishings operation. At the present time, there are inefficiencies that create backlogs of repair and upholstery work.

An analysis of the labor requirements of the Furniture Division was provided to the Chairman of the Committee on Rules and Administration in a July 12, 1989 letter from the Architect. That letter indicated that the need for additional personnel for this division was a need separate and apart from the implementation requirements of the new policy and that the actual present staffing levels were not commensurate with the prevailing workload of this division thereby creating a situation whereby there was "inadequate capacity to properly maintain existing furniture". The estimates for additional labor reflect present needs which the newly established policy brought into focus. In 1980, prior to the completion of the Hart Building, the number of employees, including full time equivalents, associated with furniture needs totalled 35. In 1983, after occupancy of the Hart Building, an additional 7 were provided, bringing the total to 42. Later, by adjusting internal assignments, without requesting additional funding for staff, we added another 12 persons for a present total of 54.

A comparison with furniture activity on the House side is instructive. The Senate has roughly two thirds the number of employees as the House and approximately two thirds the number of furniture units. The House employs 150 people for all purposes associated with furniture. On that basis, the Senate should have about 100 employees as compared with the 54 presently employed on the Senate side. On the presumption that the Senate can operate on a leaner basis than the House, a total of about 75 employees would appear to be reasonable. This request is for an additional 14; that would bring the total to 68 which, again, are needed irrespective of the implementation of the proposed furniture policy.

Question: There is a request for 16 new positions for the Office of the Architect. What is you rationale for requesting this many positions, and how can you justify such a dramatic increase in a single fiscal year?

Response: As I testified during our hearing March 23rd, 1990, over the past several years we have tried to operate with a "lean and mean" attitude toward staffing. Whereas this management approach has been beneficial in the sense that our operations have improved their efficiency, and we have taken advantage of technological advances to help us try to keep pace with our workload, we have reached the point where we can no longer respond to the proper levels of service that the Congress requires. In addition, new program requirements that have been placed on our organization, such as the hazardous waste disposal program, occupational safety programs, incentive awards program, workers compensation programs, drug free work place programs, etc., have been neglected for the simple reason that my staff are already fully occupied. Further, we find that some of the technology that we have used creates its own need for service staffing, and we have thus requested positions to ensure that we are getting the most productivity out of our data processing and personal computer operations.

As evidence of this problem with "lean and mean," our human resources division currently operates at the staffing level of 1 staff member who is responsible for servicing 138 AoC employees. Throughout the rest of the government, that servicing ratio is 1 human resources staff per 72 employees. In other words, we are trying to operate at a 50% higher level of efficiency than the rest of the government. Although I am sure that we can do better than other government agencies, I doubt that we can operate at 50% better. I therefore requested additional staffing that would bring the servicing ratio to 1 staff per 113 employees.

As another example, we surveyed comparably sized government agencies' data processing resource staff, and found that the International Trade Commission has 27 total users per 1 total support staff, and 62 office automation users per 1 support staff. The Federal Trade Commission has 34 total users per 1 total support staff and 73 office automation users per 1 support staff. Finally, the National Labor Relations Board 48 total users per 1 total support staff and 63 office automation users per 1 support staff. There is an approximate average ratio of 68 office automation users per one support staff. Using that average user to support ratio of 68/1 for office automation, the ratio of support staff that is being requested would service a user population of approximately 275 office automation users. This would seem to compare favorably with a target user population within the administrative functions of the AoC. Comparable information was found when applied to main frame data processing staffing patterns. The AoC is operating under a staffing handicap, and as such is unable to make the most efficient use of its resources.

The House Subcommittee on Legislative Branch Appropriations asked that I prioritize the requested positions. I responded during the hearing that all of the positions are needed, but I supplied the following listing for the record.

GS-12 Safety Specialist - Hazardous Material Management
GS-12 Staffing Specialist
GS-12 Employee Development Specialist
GS-13 Supervisory Computer Specialist (MIS)
GS-12 Safety Specialist (Manager)
GS-12 Incentive Awards Program Administrator
GS-12 Computer Specialist (MIS)
GS-11 Safety Specialist
GS-12 Workers' Compensation Program Specialist
GS-7 Incentive Awards Program Assistant
GS-6 Computer Operator (Day shift)
GS-6 Computer Operator (Night shift)
GS-7 Secretary (MIS)
GS-6 Clerk-Typist (A/C Engineering Division)
GS-12 Computer Specialist (MIS)
GS-7 Computer Assistant

Question: Please provide for the Subcommittee with a list of all your "no year" money accounts, the year the dollars were appropriated, the unobligated balances remaining in each account, out of which accounts you have reprogrammed funds for other purposes, and the amount of each reprogramming.

Response: The following response was provided for the record.

ARCHITECT OF THE CAPITOL
"NO YEAR" UNOBLIGATED BALANCES

ACCOUNT NUMBER	PROJECT	YEAR 1ST APPRP	APPROPRIATION	WITHHELD FROM OBLIG PL 101-163	NET AVAILABLE	UNOBLIGATED BALANCE 3/27/90
	I. CONSTRUCTION PROJECTS					
X0109	West Central Front	1983	$ 49,000,000		$ 49,000,000	$ 23,027,412
X0122	Construction of New Senate Ofc Bldg	1972 *	137,730,400		137,730,400	86,063
X0136	Modification & Enlargement, Cap Power Plant	1971 *	30,600,000		30,600,000	55,293
X4518	Judiciary Bldg Development & Operations Fund	1989	987,484		987,484	428,967
	TOTAL CONSTRUCTION PROJECTS		$ 218,317,884		$ 218,317,884	$ 23,597,735
	II. NO YEAR APPROPRIATIONS					
X0102	Contingent Expenses	1976 *	$ 2,136,000		$ 2,136,000	$ 183,314
	Capitol Buildings					
X0105-28	Security Sys at Capitol Complex	1973 *	$ 8,104,000		$ 8,104,000	$ 803,391
X0105-33	Installation of Ofc Intrusion Alarms	1981 *	210,000		210,000	1,285
X0105-39	Miscellaneous Improvements	1978 *	1,028,566		1,028,566	8,995
X0105-47	Replacement of Minton Tile	1982	1,500,000		1,500,000	881,602
X0105-49	Reconditioning of Various AC Sys Cap Bldg	1984 *	1,500,000	$ 184,000	1,316,000	475,137
X0105-51	Computer-Aided Des & Drafting Sys	1984	600,000		600,000	1,119
X0105-53	Alterations to Room H-140 Cap Bldg	1985	300,000		300,000	300,000
X0105-54	Program for Energy Conservation Cap Bldg	1985 *	325,000		325,000	185,901
X0105-55	Replacement of PCB Transformers	1986 *	5,816,000		5,816,000	3,928,488
X0105-57	Telecommunications Plan, Sec. 305	1986	400,000		400,000	3,715
X0105-58	Smoke Detection Voice Alarm Sys Capitol Bldg	1988 *	400,000		400,000	321,414

ACCOUNT NUMBER	PROJECT	YEAR 1ST APPRP	APPROPRIATION	WITHHELD FROM OBLIG PL 101-163	NET AVAILABLE	UNOBLIGATED BALANCE 3/27/90
X0105-59	Renovation to Room ST-50	1988	126,428		126,428	1,169
X0105-62	Alterations to Senate Library, 4th Floor	1988	218,000		218,000	83,139
X0105-63	Improvements to House Radio/TV Gallery	1988	431,000		431,000	(80,770)
X0105-64	House Monumental Steps, East Front	1989	500,000		500,000	318,584
X0105-65	Repair Fireplace Exhaust Ductwork	1990	200,000		200,000	200,000
X0105-66	Conservation of Wall Paintings	1990	125,000		125,000	125,000
X0105-67	Warehouse Rental FY-1990	1990	410,000		410,000	1,262
	Total Capitol Buildings		$ 22,193,994	$ 184,000	$ 22,009,994	$ 7,559,431
X0106	Alteration & Improve Handicapped Fac	1976	$ 2,700,000		$ 2,700,000	$ 674,247
	Capitol Grounds					
X0108-2518	Conversion of Sq 764 to Green Park Area	1978	$ 375,000		$ 375,000	$ 76,572
X0108-26	Miscellaneous Improvements	1981 *	39,443		39,443	1,841
X0108-30	Replace Md & Pa Ave Walkways	1983	2,240,000	$ 282,000	1,958,000	28,855
X0108-42	Replc Lighting Stds & Heads, E & W Lawns	1989	160,000		160,000	160,000
	Total Capitol Grounds		$ 2,814,443	$ 282,000	$ 2,532,443	$ 267,268
X0110	Congressional Cemetery	1983	$ 300,000		$ 300,000	$ 18,311
	Senate Office Buildings					
X0123-34	Renovate DSOB Cafeteria Kitchen	1977 *	$ 1,701,908	$ 343,456	$ 1,358,452	$ 564,458
X0123-44	Miscellaneous Improvements	1979 *	775,308	20,485	754,823	13,600
X0123-45	Program for Energy Conservation SOBs	1979 *	1,115,000	321,895	793,105	196,889
X0123-48	New Senate Bake Shop	1980	70,000	19,188	50,812	12,800
X0123-52	Renovations-Russell & Dirksen Bldg	1982 *	6,328,692	109,469	6,219,223	72,900
X0123-53	Fire Safety Study & Renovations, G308 DSOB	1978	102,104	3,116	98,988	2,099

ACCOUNT NUMBER	PROJECT	YEAR 1ST APPRP	APPROPRIATION	WITHHELD FROM OBLIG PL 101-163	NET AVAILABLE	UNOBLIGATED BALANCE 3/27/90
X0123-54	Replace Sections A/C Sys RSOB	1983 *	2,100,000	969,778	1,130,222	203,061
X0123-55	Elec Security Sys Install, Hart	1983	291,000	66,231	224,769	44,200
X0123-57	Furniture & Furnishings (Hart)	1983 *	6,334,000		6,334,000	142,605
X0123-59	Addl Computer Sys Installation, SOBs	1985 *	3,411,653	1,000,000	2,411,653	0
X0123-60	Addl Elec Distribution, RSOB	1985	110,000		110,000	42,775
X0123-62	Repl 28 AC Units, DSOB	1986 *	1,650,000	698,867	951,133	121,043
X0123-63	Repl 6 Senate Computer Room AC Units	1986	149,000	72,896	76,104	0
X0123-65	Repl 3 Frt Cabs (1,2,7) & Dr Op (1-9) DSOB	1987	402,000	998	401,002	0
X0123-68	Improvements In Office Space SOBs	1987	400,000		400,000	26,037
X0123-70	Renov to Immigration Bldg	1984 *	5,800,000		5,800,000	84,582
X0123-71	Renov SOBs Hearing Rms Speech Reinfor Sys	1988	220,000		220,000	11,390
X0123-77	Elevator Modifications, RSOB	1989	632,000		632,000	43,129
X0123-78	Miscellaneous Renovations & Alterations	1989	600,000	28,166	571,834	18,800
X0123-79	Design of New Electrical System, RSOB	1989	1,300,000	1,000,000	300,000	210,500
X0123-80	Renovate DSOB South Cafeteria	1990	676,000	500,000	176,000	176,000
X0123-81	Senate Subway System Improvements	1990	3,000,000	1,500,000	1,500,000	1,500,000
X0123-84	Frequency Inverters for VAV Fans, HSOB	1990	93,000	93,000	0	0
X0123-86	Install and Modify Fire Alarm Systems	1990	300,000		300,000	300,000
X0123-87	Special Furniture Allowance for Senators	1990	82,500		82,500	82,500
X0123-88	Furniture and Furnishings Inventory	1990	126,000		126,000	126,000
X0123-99	Unallotted Balance		186,455	186,455	0	0
	Total Senate Office Buildings		$ 37,956,620	$ 6,934,000	$ 31,022,620	$ 3,995,368
	House Office Buildings					
X0127-10	HOBA II Renovations	1975 *	$ 26,884,903		$ 26,884,903	$ 168,838
X0127-11	Replace Sec of A/C Sys, LHOB	1977 *	1,840,000		1,840,000	27,920
X0127-13	Fire Protection Improvements HOBs	1978 *	465,000		465,000	67,979

ACCOUNT NUMBER	PROJECT	YEAR 1ST APPRP	APPROPRIATION	WITHHELD FROM OBLIG PL 101-163	NET AVAILABLE	UNOBLIGATED BALANCE 3/27/90
X0127-19	Miscellaneous Improvements	1979 *	700,000		700,000	9,214
X0127-20	Prog for Energy Conservation HOBs	1979 *	959,500		959,500	460,904
X0127-38	Install Addl CATV Equip HOBs	1983 *	512,000		512,000	35,474
X0127-46	Modify Elev - Fire Service RHOB	1985	240,863		240,863	5,000
X0127-49	Elect/Fire Protect Improv LHOB	1986 *	15,500,000		15,500,000	2,945,485
X0127-51	Upgrade 2nd Hot Water Sys, CHOB	1987	48,000		48,000	14,255
X0127-52	Replace Kitchen Water Heaters, LHOB	1987	38,000		38,000	38,000
X0127-57	Smoke Dect/Voice Fire Alarm Sys, CHOB	1988 *	350,000		350,000	307,363
X0127-58	Smoke Dect/Voice Fire Alarm Sys, RHOB	1988 *	800,000		800,000	770,000
X0127-59	Installation of Duress Alarms HOBs	1988	300,000		300,000	300,000
X0127-60	Replace Speech Reinforcement Systems	1989	370,000		370,000	60,776
X0127-61	Renovate House Recording Studio, RHOB	1989	243,000		243,000	29,680
X0127-62	Electrical System Renovation Design, CHOB	1989	300,000		300,000	210,228
X0127-63	Elevator Repair and Replacement, HOB's	1989	1,350,000		1,350,000	1,288,788
X0127-64	Design Development, Publications Dist Ser	1988	300,000		300,000	59,473
X0127-65	Design and Const of Elevators, CHOB & LHOB	1990	600,000		600,000	120,000
X0127-66	Renovate H2-157 - Relocate Records Mgmt Div	1990	187,500		187,500	187,500
	Total House Office Buildings		$ 51,988,766		$ 51,988,766	$ 7,106,877
	Capitol Power Plant					
X0133-2554	Replace Expansion Joint Steam Line	1980 *	$ 599,500		$ 599,500	$ 93,289
X0133-2559	Construction of a New Ash Silo	1984	420,000		420,000	68,478
	Total Capitol Power Plant		$ 1,019,500		$ 1,019,500	$ 161,767

ACCOUNT NUMBER	PROJECT	YEAR 1ST APPRP	APPROPRIATION	WITHHELD FROM OBLIG PL 101-163	NET AVAILABLE	UNOBLIGATED BALANCE 3/27/90
	Structural & Mechanical Care, Library Buildings & Grounds					
X0155-2566	Fire Protection Imp, Main Bldg & Annex	1978 *	$ 300,000		$ 300,000	$ 3,076
X0155-2567	Program for Energy Conservation LOC	1980 *	484,300		484,300	327,588
X0155-2568	Fire/Life Safety Sys, JMMB	1987 *	425,000		425,000	149,253
X0155-26	Miscellaneous Improvements	1984 *	400,000		400,000	44,471
X0155-27	Restoration of Jeff & Adams Bldg	1980 *	5,250,000		5,250,000	63,785
X0155-28	Design for Roof Replacement, Madison	1989	100,000		100,000	3,500
X0155-29	Loading Dock Modifications	1989	400,000		400,000	400,000
X0155-70	Renov & Rest of Jeff & Adams Bldg	1984	81,000,000		81,000,000	14,222,548
	Total Structural & Mech Care LOC		$ 88,359,300		$ 88,359,300	$ 15,214,221
	Botanic Garden Salaries & Expenses					
X0200-33	Miscelaneous Improvements	1982 *	$ 80,000		$ 80,000	$ 48,747
X0200-34	Replace Roof & Ren Ext of Consv BG	1982	548,200		548,200	17,207
	Total Botanic Garden Sal & Exp		$ 628,200		$ 628,200	$ 65,954
	TOTAL NO YEAR APPROPRIATIONS		$ 207,960,823	$ 7,400,000	$ 200,560,823	$ 35,063,444
	TOTAL CONSTRUCTION PROJECTS AND NO YEAR APPROPRIATIONS		$ 426,278,707	$ 7,400,000	$ 418,878,707	$ 58,661,179

* PROJECT FUNDED OVER A MULTI-YEAR PERIOD

No Year Reprogrammings by Appropriation
October 1, 1983 thru March 30, 1990

Appropriation	From Amount	From Program/Account	To Amount	To Program/Account	Date Approved House	Date Approved Senate
Capitol Buildings	$ 410,000	Replacement of PCB Transformers (55)	$ 210,000	Lease and utility charges - 44,800 sq. ft. Washington Star Building (67)	10/27/89	11/8/89
			200,000	Increased cost of warehouse space at 1430 South Capitol Street (67)		
	945,000	Replacement of PCB Transformers (55)	945,000	Complete installation of additional electronic security system (28)	4/26/88	7/6/88
	431,000	Replacement of PCB Transformers (55)	431,000	Improvements to House Radio/TV Gallery (63)	4/26/88	7/6/88
	218,000	Replacement of PCB Transformers (55)	218,000	Renovate Law Library (62)	2/3/88	2/22/88
	80,000	Replacement of PCB Tranformers (55)	60,000	Renovations to Rooms H 201 - 210 (60)	12/22/87	12/25/87
			20,000	Alterations to Room H 225 (61)		
	100,000	Replacement of PCB Transformers (55)	100,000	Renovations to ST-50 (59)	12/17/87	12/28/87
	500,000	Installation of Additional Electronic Equipment (28)	100,000	Rental of additional space 1430 South Capitol Street (56)	12/1/86	11/18/86
			400,000	Assistance in developing telecommunications plan for Legislative Branch Agencies (57)		

Appropriation	From Amount	From Program/Account	To Amount	To Program/Account	Date Approved House	Date Approved Senate
West Central Front	$7,000,000	West Central Front (20)	$7,000,000	Additional office and committee space - Courtyards Design and Construction	5/16/89	
			1,200,000	Additional office and committee space - Courtyards Design (31)		9/18/89
	9,820,000	West Central Front (20)	9,820,000	West Front Terrace Design and Construction	2/2/89	
			1,000,000	West Front Terrace Design (30)		4/3/89
	15,000	West Central Front (20)	15,000	To conduct soil testing -Capitol Terraces	7/24/87	8/5/87
	45,000	West Central Front (20)	45,000	Study to determine structural defects of Olmsted Terraces	6/5/86	7/16/86
Senate Office Buildings	450,000	Replace 28 Air Conditioning Units, DSOB (62)	1,050,000	Seven Senators' suites to be furnished with modular furniture (57)		5/2/89
	300,000	Replace Sections of Air Conditioning Units, RSOB (54)				
	100,000	Replace 6 Senate Computer Room Air Conditioning Units (63)				
	200,000	Additional Electrical Distribution, RSOB (60)				
	300,000	Replace Sections of Air Conditioning Systems, RSOB (54)	300,000	New Electrical System Design for RSOB (79)		12/20/88

	From		To		Date Approved	
Appropriation	Amount	Program/Account	Amount	Program/Account	House	Senate
Senate Office Buildings (cont.)	$ 600,000	Replace 28 Air Conditioning Units, DSOB (62)	$ 44,850	Central Hearing Facility Anteroom Completion (78)		11/21/88
			55,000	Completion of Intelligence Committee Space (78)		
			32,400	Additional Computer Installations (78)		
			72,850	Renovation of Swing Suite (78)		
			308,400	Temporary Labor for Senators' Moves (78)		
			86,500	Dirksen Auditorium Alterations (78)		
	300,000	Furniture & furnishings for the Immigration Building (67)	300,000	Renovations to Immigration Building (70)		2/19/88
	30,000	Hart Ninth Floor Alterations (69)	30,000	Further Hart Ninth Floor Alterations, Arms to Contras & Indian Affairs (73)		1/27/88
	331,000	Replace Sections of Air Conditioning Systems, RSOB (54)	331,000	Alterations to Office of Senate Committee on Armed Services (72)		11/25/87
	250,000	Replace Sections of Air Condtioning Systems, RSOB (54)	250,000	Study - Replace Senate Subway (66)		9/23/87
	150,000	Replace Sections of Air Conditioning Systems, RSOB (54)	150,000	Emitter Detection System (68)		8/5/87

Appropriation	From Amount	From Program/Account	To Amount	To Program/Account	Date Approved House	Date Approved Senate
Senate Office Buildings (cont.)	$ 350,000	Replace Sections of Air Conditioning System, RSOB (54)	$ 350,000	Temporary Modifications 9th Floor HSOB & Caucus Room, RSOB (69)		2/4/87
	219,000	Replace 6 Senate Computer Room Air Conditioning Units (63)	219,000	Install Telephone Switch & Battery Equipment, Dirksen Garage (64)		7/16/86
	400,000 500,000	Energy Conservation Program (45) A/C System Replacement, RSOB (54)	900,000	Installation of ADP Equipment in Senators' suites (59)		10/24/85
	300,000	Renovation of Immigration Building (70)	300,000	Relocation of Immigration Building occupants (70)		6/27/85
	1,200,000	Replace Sections of Air Conditioning System, RSOB (54)	1,200,000	Additional Computer System Installation (59)		1/10/85
House Office Buildings	300,000	LHOB Electrical & Fire Protection Improvements (49)	300,000	Conceptual design development - House Publications Facility (64)	7/8/88	
	347,000	Renovation to space for new Telephone System (56)	347,000	Relocating staff from HOBA II to 501 First Street (45)	12/21/87	
	895,000	Construction of a Catering Kitchen (53)	895,000	Install new Telephone System (56)	12/1/86	
Library Buildings and Grounds	165,000 125,000 60,000	Restoration of Jefferson and Adams Buildings (27) Miscellaneous Improvements, Library (26) Program for Energy Conservation (25)	350,000	Replace Two Elevators, Jefferson Building (27)	11/10/83	12/5/83

SUBCOMMITTEE RECESS

Senator **Reid**. Thank you. The subcommittee will stand in recess subject to the call of the Chair.

[Whereupon, at 11:45 a.m., Friday, March 23, the subcommittee was recessed, to reconvene subject to the call of the Chair.]

LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 1991

FRIDAY, MARCH 30, 1990

U.S. Senate,
Subcommittee of the Committee on Appropriations,
Washington, DC.

The subcommittee met at 10:05 a.m., in room SD–116, Dirksen Senate Office Building, Hon. Harry Reid (chairman) presiding.

Present: Senators Reid, Nickles, and Hatfield.

Also present: Senator Stevens.

OFFICE OF TECHNOLOGY ASSESSMENT

STATEMENTS OF:

HON. EDWARD M. KENNEDY, U.S. SENATOR FROM MASSACHUSETTS

JOHN H. GIBBONS, DIRECTOR, OFFICE OF TECHNOLOGY ASSESSMENT

ACCOMPANIED BY:

LIONEL S. JOHNS, ASSISTANT DIRECTOR FOR ENERGY, MATERIALS, AND INTERNATIONAL SECURITY

ROGER HERDMAN, ASSISTANT DIRECTOR FOR HEALTH AND LIFE SCIENCES

JOHN ANDELIN, ASSISTANT DIRECTOR FOR SCIENCE, INFORMATION, AND NATURAL RESOURCES

THOMAS P. McGURN, ADMINISTRATIVE OFFICER

HOLLY L. GWIN, GENERAL COUNSEL

BUDGET REQUEST

Senator Reid. The subcommittee will come to order.

This morning we will consider the budget requests of the Office of Technology Assessment and the Library of Congress. Both are seeking significant augmentation in their resources for fiscal year 1991.

We will start with the Office of Technology Assessment. For fiscal year 1991, the OTA is requesting a total budget of $20.7 million and 277 positions. This is an increase of $2.1 million, or 11.5 percent, over the enacted level.

I am pleased to welcome Senator Kennedy, chairman of the Technology Assessment Board, as our first witness. He will be followed by Mr. John H. Gibbons, the Director of the Office of Technology Assessment.

Senator Kennedy, we are happy to have you back in the country, and especially happy to have you here today.

STATEMENT OF SENATOR KENNEDY

Senator **Kennedy**. Well, thank you very much, Mr. Chairman. With your permission, I would like to submit my statement for the record.

Senator **Reid**. We will make your full statement a part of the record.

Senator **Kennedy**. My statement includes some justification for the increase in OTA's budget. Jack Gibbons can respond to any particular questions that you or the other members of the committee would have.

I would like to note that at a time of very limited resources, $20.7 million is a very modest request for an increase for the work of OTA. As we look to the future the demands on OTA are going to continue. Quite frankly, this modest increase is well justified when we look at how the various OTA reports are being utilized, and the fact that legislation will be strengthened.

OTA'S WORK ON POLYGRAPH

I might just mention, some of the best examples, Mr. Chairman, of OTA reports that have significantly influenced legislation. Just about 3 years ago, we noted a very significant growth in the use of polygraphs being used as a condition for employment. The numbers had increased from about 20,000 or 30,000 a year, up to about 2 million. Polygraph results were being included as part of an individual's permanent employment record. The work of OTA in defining the magnitude of both false negative and false positive polygraph results was compelling and formed the basis of one of the really important pieces of legislation to protect the basic integrity of the relationship between employees and employers.

The very extensive and exhaustive work of evaluating various polygraph technologies in a very direct way resulted in the passage of legislation. The legislation that was introduced on our side was introduced by myself and Senator Hatch, and bipartisan in the House of Representatives. Both Houses passed the legislation in a very strong bipartisan way, and it was signed by the administration.

OTA'S WORK ON DNA TYPING

In 1988 I made a request for OTA to assess the forensic uses of DNA fingerprinting, a new technique increasingly utilized in the area of law enforcement. With the progress in biotechnology and DNA mapping technologies, so-called DNA fingerprinting is absolutely unique for each individual. Obviously, we want to make sure that this type of technology is sound and reliable. We want to make sure that the law enforcement personnel and the courts fully understand the strengths and weaknesses of DNA fingerprinting. OTA can play an extremely important role in assessing the validity of this new technology.

OTA'S WORK ON DISTANCE LEARNING

Distance learning, with the very significant shortages of teachers in math, science, and foreign languages, will enable us to use the latest technologies to bring educational experience both to remote areas of this country, rural areas of this country, as well as some of the inner cities. OTA's work in recent years has been tremendously valuable in assessing the potential impact of this new technology and its use in expanding educational resources. We are using this information in the Senate Labor Committee in the area of education.

OTA'S WORK ON CLEAN AIR

I think the chairman would remember the many Democratic caucuses that were held where the work of OTA was enormously valuable to the Senate in the whole debate on the Clean Air Act. No one really disputed the work that was done. Some members tried to, or tried to interpret the results to advance their own argument. But as one that watched that debate and constantly heard the references to the OTA study in an area of enormous technical complexity, once again, I think that OTA provided an extremely important and useful assemblage of various facts.

Just recently, we have been able to add Lou Branscomb to the Technology Assessment Advisory Council. He was the chief researcher for IBM, and one of the most significant physicists and public policy persons in the country. He is now on the faculty of the John F. Kennedy School of Government at Harvard University. He is generally considered to be one of the really extraordinary lights in the area of competitiveness and technology. And he indicated to me, even though he is heavily encumbered by other responsibilities, that he believes that the work of OTA is really one of the most important assets that we have in the Congress. He has stated both privately and publicly that the competency and technical value of OTA's work are among some of the finest that is being done, among not only any technical institutes but of any universities in the Nation.

There is always room for improvement. I know Jack Gibbons can outline some of the challenges that we face, some of the difficulties, some of the shortcomings that we face. It isn't a record that is all commendable. There are continuing challenges. We have a very active, involved Technology Assessment Board, that is bipartisan, as you know, Mr. Chairman. It is reflective of the different political views that are expressed in Congress as a whole. There is very strong attendance at the Board meetings, and a seriousness of purpose in evaluating proposals for OTA assessments.

PREPARED STATEMENT

I am sure that we could have a better outreach to all the committees of Congress, and there are a number of initiatives that Jack Gibbons is embarked on even now in this next budget cycle. I am here to strongly support OTA and the fiscal year 1991 budget request for $20.7 million. I know I speak for Congressman Miller, who is our cochair, as well as for the other members of the Technology Assessment Board in urging the Appropriations Committee to look favorably upon the amount that has been requested.

[The statement follows:]

STATEMENT OF SENATOR EDWARD M. KENNEDY

Mr. Chairman, members of the Committee, I appreciate this opportunity to appear before you today in support of the fiscal year 1991 budget request of the Office of Technology Assessment. As Chairman of the Technology Assessment Board, I want to take this opportunity to review with you OTA's work in two critical areas: education and polygraph testing.

In November OTA published a report, Linking for Learning: A New Course for Education, that was requested by the Senate Committee on Labor and Human Resources, which I chair. This study found the concept of "distance learning"—the linking of teachers and students in different locations with technology that allows live interactions—can also be applied to improve training programs for teachers in rural and urban areas through satellite linkages. Without leaving their classrooms, students all over the United States can explore the ocean floor of the Mediterranean, practice Japanese with a university professor in another state, or read a formula off the blackboard in a school across town.

Rapid developments in technology are creating distance delivery systems that are powerful, flexible, increasingly affordable, continuously expanding the range of choices. These systems are the wave of the future of education reform. Distance learning can be just as effective as face-to-face instruction. It's an important new technique to improve education and respond to teacher shortages, especially in critical disciplines such as math, science, and foreign languages. Too many school districts still do not have access to this technology, and we must do more to make it available. It may be our most cost-effective answer for education reform.

OTA has provided Congress with an important piece of research that should help us sort out the appropriate degree of federal involvement in expanding the Nation's commitment to distance learning.

In 1983, OTA published a technical memorandum, Scientific Validity of Polygraph Testing: A Research Review and Evaluation, prepared at the request of the House Committee on Government Operations. The Committee turned to OTA for assistance because of the high degree of credibility OTA had developed within the criminal justice community and within the health sciences community for its reviews of the validity of scientific research.

Though many non-scientific issues arise in the debate over polygraph testing—utility, privacy, constitutionality, and ethics, for instance—OTA limited itself in this special response to issues directly related to the scientific validity of polygraph technology. The study discusses the various types of polygraph testing procedures and ways in which the polygraph is used, and evaluates prior reviews of scientific research on polygraph validity. Finally, the report discusses the range of factors that may affect polygraph validity and possibilities for future research.

This impartial and thoroughly scientific approach contributed to a document that has had an amazing impact. OTA concluded that available research evidence does not establish the scientific validity of the polygraph test for personnel security screening. This conclusion, and the comprehensive analysis that supported it, was cited extensively in the debate that led to the passage of the Employer Polygraph Protection Act of 1988 (Public Law 100-347). This act prohibits any employer from using any lie detector test or examination in the workplace, either for preemployment testing or testing in the course of employment.

OTA also provided us with a staff paper in 1987 that prepares Congress to evaluate the reports we require from the Department of Defense on their experiences with polygraph testing in the workplace. Congress was so impressed with OTA's report on polygraph testing that the House Committee on Education and Labor has requested that OTA evaluate the validity of the integrity tests that have sprung up to fill the gap left by the ban on polygraphs. I have no doubt that this study, too, will play an important role in Congressional deliberations.

I believe you will agree with me, Mr. Chairman, that OTA's work on education, polygraph, and other technologies has been extremely valuable to the Congress. I fully support their fiscal year 1991 budget request of $20.7 million. I hope you will look favorably upon this request.

LETTER FROM SENATOR ORRIN G. HATCH

Senator REID. Senator Kennedy, we have here, and I thought you would be interested to know, a statement from Senator Orrin Hatch in support of the budget. It seems that you and Senator

Hatch are working together on a lot of things. I wonder what that means.

Senator **KENNEDY**. We say it is good legislation, or one of us hasn't read it. [Laughter.]

We like to believe it is the former.

[The information follows:]

LETTER FROM SENATOR ORRIN G. HATCH

MARCH 28, 1990.

Hon. DON NICKLES,
U.S. Senate,
Washington, DC.

DEAR DON: I understand that the Appropriations Subcommittee on Legislative Branch Appropriations, on which you serve as ranking Republican member, will hold hearings on the budget request for the Office of Technology Assessment on Friday, March 30, 1990. I wanted to appear before your subcommittee to lend my support for this request. Unfortunately, I will not be able to appear. Therefore, I request this letter containing my comments be included in the hearing record.

As a member of the Technology Assessment Board which oversees and approves the activities of the Office of Technology Assessment, I am well acquainted with the work of this important agency. OTA was created to provide clear, concise explanations of complex and technical subjects. Recently, OTA has issued important reports on innovative technologies for distance learning, on available technologies for oil-spill clean up, on manufacturing and competitiveness, on the defense technology base, and on the state of the nation's infrastructure, to name just a few. These reports provide Congress with important information on these subjects which is not readily accessible elsewhere.

I was particularly impressed by the report entitled Holding the Edge: Maintaining the Defense Technology Base. This report provided significant insights on questions like the direction, performance, and relevance of DOD's research and development programs and its vast laboratory system, the lengthening of the time necessary to translate laboratory advances into fielded military systems, and DOD's difficulty in exploiting commercial technology at a time when the civil sector is leading in many areas of technology. I have personally shared this report with decisionmakers in industry and the military and I know that it is receiving a great deal of praise for its objective, and comprehensive treatment of these important issues. I have asked OTA to undertake a follow up study which will look at the problems which defense dependent businesses will have as they attempt to convert to production for the civil sector. Given the recent events in Eastern Europe, this report will be most timely.

OTA is currently doing work on the deteriorating public infrastructure, and on rural telecommunications and its impact on rural economic development. Both of these reports will provide essential information on these vitally important subjects.

As you deliberate on these appropriations, I would urge you to consider the unique and important role which OTA plays in providing congress with the information we need on science and technology. Only OTA, among all the congressional support agencies, has the expertise and charter to provide comprehensive reports on scientific and technical subjects in an easily accessible manner.

OTA currently faces a large backlog of requests. It has been difficult for OTA and the Technology Assessment Board to try to decide which assessments to approve within OTA's limited budgets. I have personally stressed the need for OTA to do more with less, and I have been impressed with their ability to retain quality while at the same time cutting fat. However, as with any organization, they can only cut so far before the quality of their products begins to suffer. It would be a tragedy for congress to lose the quality information provided by OTA.

I appreciate the opportunity to contribute to this hearing. I fully support OTA's request for $20,710,000, and I hope that you will look favorably on this request.

Sincerely,

ORRIN G. HATCH,
United States Senator.

DISTANCE LEARNING

Senator **REID**. Senator Kennedy, I had a number of questions. You answered a number of those. One question that I wanted to spend a little time with is on distance learning. This has actually been your contribution. For a State like Nevada, 85 percent of all the people live in two cities, the Reno metropolitan area and the Las Vegas metropolitan area. Spread throughout the rest of the State is 12 to 15 percent of the population, most of which are very remote areas. The educational opportunities for those young people as far as being exposed to teachers that are proficient in physics and chemistry and foreign languages is many times very limited.

It is my understanding this is one of the reasons that you introduced this concept, to allow rural America, which has great minds—they just are unable to develop them many times because of lack of exposure to some of the people that are proficient in the sciences and languages. Tell me, is this your concept?

THE STAR SCHOOLS PROGRAM

Senator **Kennedy**. It is. We, Mr. Chairman, initiated what I called the star schools legislation to try and use technology to make available learning experiences to both the rural and, in many instances, in the urban areas. The shortages of math teachers and science teachers in my own city of Boston is appalling. And to be able to use technology to extend educational resources to enrich the learning experience.

With changes in demography and reductions of student populations, the course that is dropped more often than not is the one where it is the most difficult to get a teacher and the smallest number of students. So you may have five students that are first rate students in Tewksbury, MA, who want to study physics and math, and the school board cannot find the teacher. That kind of situation is being replicated all over our State and across the country.

Obviously, in some areas of the country, teachers are plentiful, but in many, many areas we have seen significant reductions of math and science teachers. For every new math and science teacher that is entering the profession, 13 are leaving. Experts project a shortage of 200,000 math and science teachers over the next 5 years. The number of individuals enrolled in math and science Ph.D. programs at this time is a fraction of what we need. I would be glad to submit those figures and statistics. They are really appalling. We are trying to develop legislation to address those critical problems through the National Science Foundation, in more creative and innovative ways.

We urgently need talented, capable, committed young people to pursue careers as teachers in math and science and to involve them in this education experience is absolutely essential for our country. Distance learning technologies represent a considerable investment initially. But once we have made that investment, then all that is necessary is down linking to local schools, which is not an expensive program. And in the development of this we are insisting that programs that have been developed in different regions be available to other communities. If there are some that are particularly successful in some areas of the country, we will be able to have those kinds of programs shared with other parts of the Nation.

One of the most successful programs was established in the State of Mississippi. I think a member of the Appropriations Committee, Senator Cochran, is very, very familiar with a very exciting and innovative program that has made, he believes, a very important difference.

Finally, I would say that these techniques are applicable in upgrading training and tying businesses into the educational function as well. We are finding more and more of the business community seeking to both upgrade the training of personnel and trying to find new and innovative ways of bringing business training into the educational program. So there is a lot of imaginative and creative work that is being done, and we are really at the cutting edge of this type of technology. But it has to be constantly reviewed so it will achieve the goals which we hope that would be achieved.

Senator Reid. Senator Kennedy, I have legislation I have prepared which will be referred, of course, to your committee dealing with math and science education. The first opportunity I get I am going to introduce that.

DO WE NEED OTA?

Senator Kennedy, I would like to ask you this question: This budget is $20.7 million, thereabouts. And, of course, we get during the course of a year, and especially around budget time, inquiries as to why we don't combine OTA with CRS and the General Accounting Office. Why do we need the Office of Technology Assessment? Why don't we just combine it with the other successful programs that we have?

Senator Kennedy. The focus and attention of OTA is on technology and technology assessment. They have a very highly trained, highly disciplined core staff, small but I think very professional. Jack Gibbons has done an outstanding job in retaining many of these personnel, all of whom could leave OTA this afternoon and get jobs with much higher salaries. OTA's staff interrelates with the best of the academic and private sector, seeking the most expert views on each advisory panel and providing expert advice to Congress.

The structure, organization, and purpose of OTA is different from CRS. OTA has demonstrated the unique ability to provide critical assessments of issues relating to public policy. CRS is an excelllent source of information, but OTA has been much more responsive to the various congressional committees in providing assessments of technology. I do not wish to disparage CRS, which does a lot of different work and pulls together a great deal of different material. But if you are talking about cutting edge technologies and their impact on legislation and public policy, the structure and organization of OTA is unique, it functions really uniquely; this uniqueness is clearly related to the excellence of their work.

I don't know whether Jack Gibbons may want to add something—I am sure he does—to that particular question.

Mr. Gibbons. I would be happy to if there is time.

Senator Reid. We want to finish with Senator Kennedy first.

Senator Kennedy. OK. Fine.

Senator **Reid**. Don, do you have a statement or anything you want to ask Senator Kennedy?

Senator **Nickles**. I am glad that Senator Kennedy could join us this morning. Welcome.

Senator **Kennedy**. Thank you very much.

Senator **Reid**. Senator, we have no more questions.

Senator **Kennedy**. OK.

Senator **Reid**. You are, of course, welcome to stay.

REQUEST FOR AN INCREASE IN CONTRACTING

Mr. Gibbons, you are requesting $2.5 million for research contracts, which is an increase of almost $1 million, or almost 60 percent over the current allowance, to help reduce the backlog. Now, I want to tell you my personal feelings, and I think Senator Pryor, who has led the fight against these contracts, shares my views.

I think what you should do is do these in-house. I mean, why do you have to contract out this program? I just don't understand why.

Mr. **Gibbons**. Mr. Chairman, it is a fair question, and I will try to respond as briefly as I can. Our work in contracting reflects the fact that when Congress set up the OTA, they intentionally, as I understand it, made the agency small. It is by far the smallest of the congressional agencies. It is about 3 percent the size of the GAO. In being small, it was devised to be a place that has a critical amount of internal technical expertise so that it cannot only expertly judge what information is out there but also write it and deliver it to the committees. But, in being small, it was to be set up in a way that it utilized, to the fullest extent possible, information and special expertise that exists around the country; that is, it was inherently going to be a place that, while it has its own core staff, it always reached out, to synthesize and integrate national wisdom.

That is really our lifestyle at OTA. We constantly are reaching out and drawing in from the wealth of information around the country in order to be both flexible and accurate and up to date in our expertise. If we had to do all this in-house, we would have to be vastly larger than we are.

Last year, for example, 800 different people worked with OTA in one way or another in helping us fulfill the requests of the committees. We do this with very special contracts. They are all small. Our average contract is about $7,000. We are picking individuals and key people that can bring to the Congress through OTA certain key information that would be extremely expensive for Congress to have on hand full time.

Senator **Reid**. Senator Nickles, so you know the drift of my inquiry here this morning, this OTA budget request is over $20 million. We are going to have the Library of Congress, which is hurting for money. I mean, they are desperately in need of money just to maintain what they have. We have the General Accounting Office. We have the Congressional Research Service. And the question that numerous people ask me every time this budget comes up is why can't those two agencies, which have been long established, do this work.

Senator **Nickles**. I have heard the same thing.

Senator **Reid.** This seems to be—and no one is criticizing the work you do, but this seems to be a program of Senator Kennedy's and Senator Hatch's. They are great pushers of this program, and there are some who say we might be able to save money by having a technical division within the General Accounting Office.

For example, I had a hearing, Senator Nickles, this week that involved technical material that the General Accounting Office did with respect to lawn chemicals. And I have had a number of other things that the General Accounting Office has done for us dealing with pesticides and fungicides.

I guess what I am asking here is would we be better off taking this $20 million and spreading it around within the General Accounting Office, or maybe the Congressional Research Service, and perhaps save part of it.

Mr. **Gibbons.** Well, first of all, our budget would amount to about one-half of the cost-of-living increases that the GAO will have to accomplish in the next year.

Senator **Reid.** I know. But we have to get that money from some place, and 50 percent is a lot of money.

OTA IS AN EFFICIENT ORGANIZATION

Mr. **Gibbons.** I agree, sir, and I take pride in the fact that as far as I am concerned, this agency uses every dollar with the utmost efficiency. I was told by a highly knowledgeable person a couple of weeks ago that there were two agencies in Washington that he felt are outstanding, compared to all the rest. One was the OTA. I was pleased to hear that because this came from a person who is not——

Senator **Reid.** I am curious. Who was the other?

Mr. **Gibbons.** The other was DARPA at the Department of Defense.

Our work is very specialized, Senator. I think that there is one fallacy in the arguments being made to you. Somehow I hear that bigger is more efficient than smaller, and I claim, having a lot of experience in this game, that being smaller and flexible can make an operation much more efficient, much more adaptable to the changing needs of Congress. And I would challenge the argument that by merging you end up gaining. We already do an enormous amount of work in parallel, in cooperation. We borrow from each other. We refer to each other. We use common resources for some of our overhead.

I think the notion of merging is in theory a reasonable idea to evaluate, but if you look at actually what could happen in such a process, I feel that you would end up losing because you would destroy the flexibility and the efficiency of our operation.

Senator **Reid.** In your budget justification, you list a significant number of instances of OTA's cooperation with other agencies. Such cooperation we would hope ensures that OTA focuses on the technological issues involved in these areas of study. I note, however, that several of the candidate areas you list for assessment in 1990 and 1991 don't seem to focus on technological questions; for example, trade with Eastern Europe, keeping older people in the work place, agricultural alternatives to illegal drug crop production, drug abuse prevention and treatment, reducing the demand for illegal drugs.

So how would you say that these areas are so technologically complex that we need you to do the studies you are proposing?

FOCUS ON TECHNOLOGIES

Mr. **Gibbons.** Senator, we try to take on only those things that contain explicitly a very substantial amount of technology, not only that contain it but contain issues that are both controversial and complex. We do everything we can to defer other kinds of requests to more appropriate agencies, and I think we have an excellent track record at that. In every one of those that you mentioned, if we had the time, I could show you that technology is deeply embedded in those issues as we would see it and as we would go after it.

So I think the claim that technology has nothing to do, for instance, with alternatives to growing marijuana in the field or to treating drugs or to older people in the work place is simply not so. There is an enormous amount of technology embedded in every one of those questions.

Senator **Reid.** But, you see, Mr. Gibbons, I am not sure that logically this is consistent with your prior statements, and I say this with the utmost respect. Because for the real technical areas, you are contracting that out anyway, so——

Mr. **Gibbons.** No, sir; we are not. We only contract certain things that we do not feel it appropriate for us to have as in-house permanent help.

Senator **Reid.** But the argument, of course, is that those areas—for example, the GAO could do that. But separate and apart from that, I have some more written questions that we would ask you to respond to for the record, and then I will yield.

Mr. **Gibbons.** I would be pleased to respond.

PREPARED STATEMENT

Senator **Reid.** I want to make sure that Senator Nickles has adequate time. I have just another area that I want to look into.

[The statement follows:]

STATEMENT OF JOHN H. GIBBONS

Overview of OTA's Role

Mr. Chairman, Members of the Committee, it is a pleasure for me to appear before you during these extraordinary times and speak of OTA's role in the Congress.

So much has changed since I first came to OTA in 1979. Ten years ago the Cold War dominated East-West relations, but in 1989 the rusted and corroded Iron Curtain collapsed, and perestroika, glasnost, and solidarity became actions not just images. Congress may have the good fortune to craft a "peace dividend" that some observers anticipate for our economy as ideological conflict declines and military spending decreases in the years ahead. But Congress must also continue to deal with threats not only in a military sense, but also to U.S. world position from an increasingly integrated and competitive global economy.

Our perspectives on energy and environment have changed over the last decade as well. We now focus more clearly on the inevitable shift away from fossil fuels and our technological options for controlling both energy supply and demand. We now realize that the environmental hazards of energy consumption, particularly acid rain and global climate change, are global in both cause and effect. Congress is inescapably drawn into the process of developing a strategy to sustain or increase the level of energy services available to this Nation and others while at the same time minimizing energy production's and consumption's ill effects.

I assume that, in the face of these international developments and the swift pace of technical change, Congress's need -- the Nation's need -- for thoughtful technology assessment will increase. James Madison told us two centuries ago that in order to remain our own governors, to preserve democracy, we must arm the people with the power that knowledge gives. OTA has a proven track record and is well-respected in government, industry, academia, the public interest community, and among foreign leaders. I believe it is the best place for technology assessment to be done within the U.S. government, and I am pleased that OTA has earned the reputation of being one of the top analytical organizations in the whole world.

Recent Accomplishments

During FY 1989, OTA delivered 26 formal publications to Congress, including assessment reports, an interim summary, special reports, a technical memorandum, and several background papers. (See pages 83-91 of the FY '91 Justification of Estimates.) As of September 30, 1989, 37 Technology Assessment Board (TAB) approved studies were in progress and 7 were in press or under TAB review. As an integral part of carrying out assessments, OTA also provided, during the course of projects as well as after delivery, expert advice, briefings, testimony, and results of OTA assessments to Committees matched to their specific needs and the Congressional agenda. (See pages 132-136 of the FY '91 Justification of Estimates.) **During the year, OTA served over 80 different Committees and Subcommittees of both houses, typically in response to bipartisan requests.**

OTA reports represent comprehensive synthesis and analysis on some of the most controversial and costly issues faced by Congress . . . covering, for example, hazardous waste reduction and management, international trade and technology transfer, the future of American agriculture, the defense technology base, education, worker training, health care cost containment, and the future of biotechnology. These studies directly reflect the expressed needs and priorities of Committees of House and Senate.

Effectiveness

Since OTA works for Congress, a critical measure of our effectiveness is our impact on legislative deliberations. I list a representative sample of such use of OTA's reports below (please see the FY '91 Justification of Estimates for additional examples):

- In Senator Metzenbaum's floor statement introducing S. 984, a bill amending the Motor Information and Cost Savings Act, he stated that "studies by the Department of Energy and the Office of Technology Assessment determined that a CAFE (Corporate Average Fuel Economy standard) of 33 to 35 miles per gallon by 1995 would be practical and cost-effective and doesn't require a shift in size mix or performance." The bill itself states that, "analyses by the Department of Energy and the Office of Technology Assessment indicate that known, cost-effective technologies already in use in automobiles today could, if implemented to a greater extent in the new car fleet, provide substantial improvement in new car fuel economy without requiring shifts in the size mix, performance, or luxury equipment of new cars." This work, an interim product of OTA's ongoing assessment of Technological Risks and Opportunities for Future U.S. Energy Supply and Demand, was also cited in S. 1224, the Motor Vehicle Fuel Efficiency Act of 1989. Throughout the year, OTA staff briefed Senate and House members and staff on alternative fuels and automotive fuel economy and other energy technology issues being addressed in the assessment and testified five times on these subjects in the last year.

Several of OTA options have provided key middle ground in the debate over CAFE standards.

- OTA's assessment, Commercializing High Temperature Superconductivity, was one of two major policy studies cited by the House Science, Space and Technology Committee in its report (House Report 100-900) on the McCurdy-Ritter bill (Public Law 100-697, the National Superconductivity and Competitiveness Act of 1988, which became law on November 19, 1988). This Act directs the Office of Science and Technology Policy (OSTP), in conjunction with the National Critical Materials Council, to establish a 5-year national action plan on superconductivity R&D. In reporting its bill to the full House, the committee noted OTA's analysis indicating that while U.S. government had moved aggressively to fund basic research on superconductivity, Japan had been more aggressive in establishing a national program, as well as OTA's findings concerning the relative commitments of U.S. and Japanese firms to commercialization. These latter findings were also cited during the House floor debate on the bill. Subsequently, this report was extensively used by OSTP in formulating their 5-year action plan, as mandated in the McCurdy-Ritter bill. OSTP also conferred a number of times with OTA staff. Indeed, the action plan, the report of the Committee to Advise the President on High Temperature Superconductivity (popularly known as the Wise Men's report), and the creation of the National Commission on Superconductivity were all influenced by the OTA report, in particular through their common emphasis on taking a long-term view, designing stability into the research and development program, working closely with industry, and supporting R&D consortia.

- The International Security and Commerce Program's ongoing assessment of Space Transportation Technologies has assisted work in the House Committee on Science, Space, and Technology on a bill (H.R. 2674) to "encourage the development....of a competitive U.S. space transportation industry." It has also contributed to deliberations within the Subcommittee on Space Science and Applications concerning future government investment in space transportation.

- OTA's recent special report, New Developments in Biotechnology: Patenting Life, was cited by Rep. Robert Kastenmeier, Chairman of the House Judiciary Subcommittee on Courts, Intellectual Property, and the Administration of Justice, in introducing H.R. 1556 (the "Transgenic Animal Patent Reform Act") and H.R. 1557 (to regulate the use of transgenic animals). OTA staff testified at a Subcommittee hearing on September 13, 1989 on H.R. 1556. OTA staff for Patenting Life were consulted by the Senate Judiciary Subcommittee on Patents, Copyrights, and Trademarks regarding potential legislation regarding biotechnology and subject matter patentability. Hearings before the House

Judiciary Subcommittee on Courts, Intellectual Property, and the Administration of Justice also featured this study. All witnesses appearing before the Subcommittee were asked to choose which OTA options they preferred, and to compare OTA's options to those chosen by the sponsors of H.R. 1556.

- The Chairman and Ranking Minority Member of the House Committee on Science, Space, and Technology wrote to OTA on January 27, 1989, stating that, "the National Biological Diversity Conservation and Environmental Research Act, which was introduced during the Second Session of the 100th Congress and had 90 cosponsors, relied upon many of OTA's options." These options were provided in contained in OTA's study on Technologies to Maintain Biological Diversity. Findings and options from this report were used extensively in drafting H.R. 1268. Companion legislation is contained in Sen. Gore's Comprehensive Global Protection bill (S. 210).

- OTA's case study, Nurse Practitioners, Physician Assistants and Certified Nurse Midwives: A Policy Analysis, was quoted by Senator Daschle in the floor statement as justification for the aims of his bill, S. 1384, which called for the amendment of the Social Security Act to allow direct reimbursement of nurse practitioner or clinical nurse specialist services in rural areas under Part B of the Medicare Program. The report was also cited by staff to Senator Inouye in a speech concerning the reimbursement of non-physician health professionals. Rep. Edward Roybal, chairman of the House Select Committee on Aging, also relied on information from Nurse Practitioners when he introduced the Nursing Shortage and Nurse Reimbursement Incentive Act as a strategy to attract more nurses. He used the OTA study to reinforce his argument that reimbursing nurse practitioners in place of physicians, when appropriate, would reduce health care costs.

- Interim results from OTA's ongoing assessment of Information Technology and Research have been used in developing legislation in both the House and Senate. The Chairman of the Senate Subcommittee on Science, Technology, and Space distributed copies of OTA's background paper, High Performance Computing and Networking for Science, to all members of the Senate. OTA also testified last spring at hearings held by the House Subcommittee on Science, Research, and Technology on the state of the supercomputing industry.

- S. 587, a bill to amend the Marine Protection, Research, and Sanctuaries Act to protect marine and near-shore coastal waters through establishment of regional marine research programs, and S. 1178, the Marine Protection Act of 1989, cited a finding from OTA's assessment, Wastes in Marine Environments, that the overall health of marine and coastal waters is declining or threatened. This report was also cited by Senator Lautenberg as he introduced S. 1179, the Comprehensive Ocean Assessment and Strategy Act of 1989:

"The Office of Technology Assessment, in a 1987 report, concluded that the overall health of our coastal waters is 'declining or threatened,' and that 'in the absence of additional measures, new or continued degradation will occur in many estuaries and some coastal waters around the country.' OTA also determined that contamination of the marine environment has a wide range of adverse effects on birds and mammals, fin fish and shellfish, aquatic vegetation and benthic organisms. Finally, OTA concluded existing programs, even if fully implemented, are not adequate to maintain and improve our coastal waters." He urged Congress to respond positively to the problems identified by OTA and others. H.R. 2953, a bill to establish a comprehensive marine pollution restoration program, to amend the Federal Water Pollution Control Act and the Marine Protection, Research, and Sanctuaries Act, and for other purposes, also cites findings from OTA's work in this area.

- OTA testified to the findings of a special report, Safer Skies With TCAS: Traffic Alert and Collision Avoidance System, before the Aviation Subcommittee of the House Committee on Public Works and Transportation. In his remarks opening the hearing, Chairman Oberstar stated, "I want to compliment OTA for the excellence of your work, the quality of the presentation made, and very fine analytical work accomplished with a very difficult subject. It is one which was accomplished with great skill and is a great service to the Congress." Subsequently, the conclusions reached were used as the basis for legislation passed by both the House and Senate modifying P.L. 100-233.

Another measure of OTA's effectiveness is our impact on activities outside the Legislative Branch. For FY '89, such impacts include the following:

- The Federal Energy Regulatory Commission (FERC), in its recently issued Transmission Task Force Report, refers frequently to OTA's assessment report, Electric Power Wheeling and Dealing: Technological Considerations for Increasing Competition, and background paper, Biological Effects of Power Frequency Electric and Magnetic Fields.
- The National Defense University uses OTA reports -- Holding the Edge, The Defense Technology Base: Introduction and Overview, and New Technology For NATO -- as textbooks. Holding the Edge has also been used extensively throughout DOD in deliberations regarding strategic planning of technology base programs and laboratory management.
- OTA's reports on space transportation have been used extensively by NASA, the Air Force, and the science, research, and space technology community.

- Based on a review copy of OTA's forthcoming report Confused Minds, Burdened Families: Finding Help for People With Alzheimer's and Other Dementias, the Administration on Aging developed a research initiative on connecting ethnic minority people with dementia to health care and other services.

- OTA staff assisted the National Governor's Association in development of their assessment of agriculturally-related groundwater contamination.

- Through a cooperative agreement between the governments of the Freely Associated States in Micronesia, the U.S. Corps of Engineers, and the National Oceanic and Atmospheric Administration, a "Pacific Island Network" has been established to link the islands together and with Federal information and assistance efforts. Designated agents have been created in Pohnpei, Kosrae, and the Northern Marianas as of July, 1989, and agents will be selected for the other major islands by 1990. Agents will serve as active extension agents (covering aquaculture, marine resource management, protected areas) and program coordinators. These actions were originally suggested by OTA's assessment Integrated Renewable Resource Management for U.S. Insular Areas (1987).

- In developing recommendations for the use of pneumococcal vaccine, the Center for Disease Control's Immunization Practices Advisory Committee drew directly on OTA's update of the vaccine's cost effectiveness, Update of Federal Activities Regarding the Use of Pneumococcal Vaccine.

- The Federal Publishers Committee, an interagency group, used OTA's report, Informing the Nation, to set the framework for its recommendations on improving agency-GPO working relationships.

- The Yale School of Forestry and Environment elected to use OTA's report, Facing America's Trash: What Next for Municipal Solid Waste?, as the main text for one of its graduate level classes.

- The Texas State Board of Education used OTA's report, Power On!, as the basis for five elements of their action plan. The Washington State Office of Public Instruction's Educational Technology Reports to the Legislature draw extensively on OTA's work, as do plans and actions in California, Connecticut, Florida, and New York.

- The OTA special report, Safer Skies With TCAS: Traffic Alert and Collision Avoidance System, was used by the Federal Aviation Administration to structure its operational evaluation program for the early phase of TCAS implementation.

- The National Education Association's Special Task Force on Technology based their recommendations for teacher training and support on OTA's work. The NEA report and press release quoted OTA frequently, and NEA's goal of "a computer on every teacher's desk by 1991" is the direct result of OTA's assessment, Power On!. IBM also cited findings from this report to justify their $25 million effort to assist in training new teachers to use technology.

- The Office of Motor Carriers in the Federal Highway Administration has used the report, Gearing Up for Safety, as an aid in structuring their human factors research.

Plans for FY '90 and FY '91

The bipartisan, bicameral Technology Assessment Board -- a critical element in OTA's reputation for objectivity and relevance -- has approved studies for the coming year that consider the interdependent consequences of technological development: from energy supply and demand in developing countries (and how this affects both economic development and climate change), to monitoring compliance with possible arms control measures; from promoting technology development and managing trade in Europe and the Far East, to identifying the real costs of pharmaceutical drug research and development; from bridging the gap between rural and urban America through information technologies, to managing the hazards of medical wastes. OTA's studies generally reflect the range of Committee interests -- on both sides of the aisle and both sides of the Hill. OTA thus serves as a small, highly skilled, shared resource for all of Congress . . . a unique way to maximize technical assistance at minimum cost.

Over the past 15 years, OTA has provided Congress with hundreds of reports on emerging technologies, and with policy options for governing in a time of rapid technical change. These reports have addressed many discrete areas of scientific and technological change. This experience now provides the background necessary for OTA to help Congress find solutions to cross-cutting issues. For example, how to reflect the needs of rural communities in public policy is an issue in OTA's studies of both health and telecommunications. How best to protect the environmental commons is a concern reflected in OTA's studies that range from local issues, such as municipal solid waste, to integrated approaches to air, water, and land pollution, to global issues, such as climate change. How to shift emphasis smoothly from military toward civilian technology development and production is an issue for our experts in defense, industry, training, and education. OTA hopes to emphasize, in FY 1990 and into the future, the task of integrating our studies to provide to Congress the most comprehensive view possible of increasingly complex, interrelated, global problems involving science and technology.

Attachment 1 of my testimony lists candidate areas for new assessments in FY '90 and FY '91. These topics have been identified by congressional committees, OTA, and its advisers as typical technology-driven issues that the Congress will face over the next several years. This list should be viewed only as representative, since OTA's agenda shifts to meet the changing needs of Congress. As you know, much of OTA's agenda is set about a year in advance, due to the lead time necessary to do careful and complete research and analysis. Thus only a few of the candidate projects listed can actually be undertaken by OTA.

FY '91 Budget Request

OTA is proposing an FY 1991 budget that will permit the agency to continue to deliver the high quality assessments we are known for, to finish ongoing work, and to undertake a small portion of our current backlog of requests. Demands for our assistance continue to grow. In the past, we have had very gratifying success in meeting growing demands by increasing productivity, by careful design of the analyses, by merging of multiple requests into single studies, and by other mechanisms that stretched our capabilities without significant erosion of the quality of the work. But those opportunities have been pretty well exhausted. In other words, most of the blood has now been squeezed out of the turnip, and I regret to report that the flexibility we have lost over the past several years is seriously eroding our ability to perform work in timely fashion, to access expertise found outside OTA, and to compete with other agencies of government, universities, and other institutions for first-rate talent. **Without some budgetary relief we will soon lose the last vestiges of our key flexibility - use of outside contracts to facilitate specialized analytical needs.** This problem is especially acute for OTA because of the unique nature of certain of our fixed costs.

OTA's Unique Fixed Costs: Rent

OTA resides in commercial office space at 600 Pennsylvania Avenue, SE. We often characterize our space as the ideal location for OTA, for it puts a distance between OTA and the day-to-day workings of Congress that helps protect the impartiality of our analysis, but keeps us accessible to the Members and staff. As the neighborhood has developed, we have had to pay more. Though our rent is very competitive with other buildings in Washington, it consumes a larger and larger share of our appropriation.

Rent and operating expenses consume 9 percent of OTA's budget. By comparison CBO and CRS have no rental expenses. GAO reports 3.5% of its budget for building operations, but none for rent.

When budget cuts come, we still have to pay our rent, which escalates on a yearly basis to cover a profit margin for the landlord and actual increases in operating expenses. Since Fiscal Year 1985, OTA's (constant dollar) costs for rent and building operations have increased 126 percent. The largest jump in costs occurred in Fiscal Year 1988, when OTA's initial 10-year lease expired and a new 10-year lease took effect. Over the same period, our appropriation available (in constant dollars) for programmatic work has decreased by 12 percent (see Attachment 2). Staff costs did not decline over this period, thus we were forced to cut contracting expenses. As explained below, these cuts have detrimental effects on the way OTA does business.

Importance of Contracting to OTA's Work

OTA performs its assessments with a unique blend of permanent staff, temporary staff, in-house contractors, advisory panelists, workshop participants, and research contractors.

The permanent staff of 143 forms the nucleus of the operation. Highly trained analysts from a variety of disciplines provide OTA with a broad-based knowledge of many subject areas and the ability to pull together and manage all of the necessary resources and processes that go into an assessment, as well as communicate on a continuing basis with the Congress.

OTA supplements its permanent staff with approximately 60 temporary staff hired for specific assessments because of a specialized expertise. Where temporary employment is not an option, in-house contractors are used as well, historically about 12 contracts a year.

Important guidance for our assessments comes from our advisory panels, which meet on average two to three times during the assessment to help better define the problem, and review our research for accuracy and balance. The Panels are separately constituted for each project, and are carefully chosen to bring together all stakeholder points of view as well as expert knowledge. They typically meet three times over the course of an assessment and then disband. Workshops are organized to address specific or more narrow areas within an assessment or to add in-depth knowledge to an assessment area. More than eight hundred different individuals from all over the nation and world participated in panels and workshops in 1989, almost half without compensation other than expenses. (Some from industry also provide their own expenses.)

The final critical element in OTA's assessment work is the specialized research contractor who performs in-depth research that goes beyond the resources and knowledge base available within the temporary or permanent staff or inhouse contractors. There were

304 of these contractors in FY 1989, averaging $7,600 per contract. In FY 1990 we estimate a drop to approximately 270 contractors, averaging just over $6,000 per contract. Since FY 1985, research contract dollars have declined by 54 percent (FY 85 dollars) and panel contracts by 40 percent (FY 85 dollars), compared to all other costs which have risen by approximately 4 percent (FY 85 dollars). The FY 1985 research contracts were 19 percent of total budget, in FY 1990 they are estimated to be 10 percent. In the same period, the combined in-house, research, and panel contracts amounts have declined from 23 percent to 12 percent (see Attachment 3). **OTA's FY 90 budget for contracts is nearly $2 million (in FY 85 dollars) below the FY 85 level.**

In this situation we can not sustain the technology assessment process that has become so critical to Congress. Staff has filled in for the decline as much as possible, but cannot be stretched further.

Mr. Chairman, OTA is asking for mandatory and price-level increases for staff and other costs and an additional $746,000 for contracts that will better allow OTA to support its assessment activities with the necessary scope and depth of outside research.

Conclusion

During FY 1991, OTA expects that it will be called upon by Senate and House committees for work on issues that run the full range of science, technology, and policy. The influence of changing technology on cost containment, pollution control, national security, industrial competitiveness, employment, health, and constitutional guarantees such as privacy and property rights will intensify, and Congress will be forced to grapple with these issues. The insights OTA can bring to Congress' legislative, appropriations, and oversight functions can result in savings hundreds of times, or more, greater than the cost of OTA's analysis. Thus OTA will continue to be the common analytical resource to committees as they seek fuller understanding of emerging technology and the appropriate role of the Legislative branch.

Attachment 1

Candidate Areas for New Assessments in Fiscal Years 1990 and 1991

The topics given in this list have been identified by congressional committees, OTA, and its advisers as typical technical issues that the Congress will face over the next several years. Note: 1) This list is not given in order of priority; and 2) the actual number of issues we can undertake as full assessments is no more than 1 in 3 or 4 of those listed.

Energy and Materials

- Energy Efficiency
- Nuclear Power Plant Decommissioning and Life Extension
- Recycling of Materials

- Social Costs of Energy Consumption
- Energy Storage Technologies
- Materials for the Information Age

Industry, Technology, and Employment

- Defining the Technology Base for a Developed Economy
- Trade with Eastern Europe
- Foreign Investment in the United States
- Environmental Pressures and Industrial Competitiveness: Opportunities for U.S. Industry
- Technology Transfer
- Arresting the Slide: Retaining and Regaining Competitive Advantage in Computer Hardware and Software

International Security and Commerce

- New Technology and Conventional Force Reductions
- The Future of U.S. Defense Industries
- The Future of Strategic Forces
- The Diffusion of Military Technology
- Destructive Radio Pulse Technology
- The Internationalization of Space Activities

Biological Applications

- Biomedicine of Addiction
- Quality Assurance of Long Term Care of Elderly Citizens
- Biological Technologies to Support Humans in Space
- Risk Assessment and Management for Non-cancer Environmental Toxins
- Keeping Older People in the Workplace

Food and Renewable Resources

- Agricultural Alternatives to Illegal Drug-crop Production
- Agricultural Technology Transfer: U.S. Participation in the Global Agricultural Research System
- Improving Productivity of Degraded Resources
- Advances in Integrated Pest Management
- The Role of Renewable Resource Management in Disaster Mitigation
- The Growing Demand for Amenity Resources: Managing Renewable Resources for Tourism
- Technology for a Diverse Agriculture

Health

- Drug Abuse Prevention and Treatment -- Reducing the Demand for Illegal Drugs
- Worldwide Transmission of Viruses and Tropical Diseases
- Cancer Center Clinical Trials and the Medicare Program
- Intrauterine Surgical Treatment of Fetal Abnormalities: Technology, Cost, and Implications for Medicaid
- Health Care and the Inner City

Communication and Information Technologies

- Copyright and Patent Protection of Computer Software and Databases
- Technical Standards for Telecommunications and Computers
- International Telecommunications
- Mission-Critical Computer Software for the Federal Government
- Radio Frequency Spectrum Management
- Future Directions in Advanced Computers

Oceans and Environment

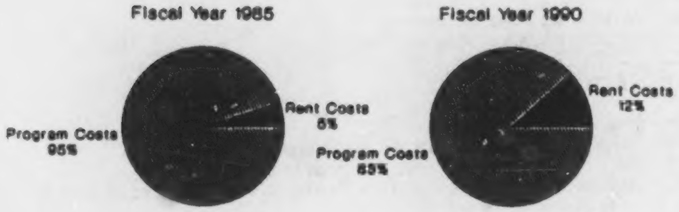
- Impacts of Global Warming
- Industrial, Non-Hazardous Waste
- Indoor Air Pollution
- Non-Point Source Pollution
- Shoreline and Coastal Land Use Management
- Aquaculture

Science, Education, and Transportation

- Alternatives to Standardized Tests
- Delivering Literacy via Technology
- The National Airspace System Plan Revisited
- Education: Research Into Practice
- Conflicts of Interest in the Research Community
- Evaluation of Vocational Education Standards

Attachment 2

Comparison of Rent to Program Costs in FY85 Constant Dollars



Program Costs include mandatory, price-level, and workload increases for all analytical work.

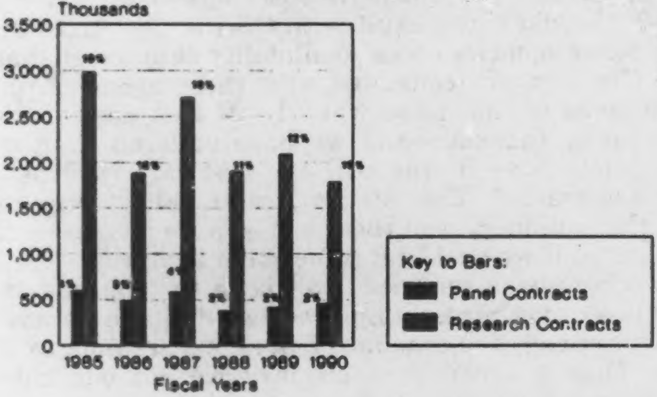
Comparison of Rent to Program Costs
in thousands of dollars

	Rent Costs		Program Costs	
	nominal dollars	*FY85 dollars*	*nominal dollars*	*FY85 dollars*
FY 85	609	609	11,818	11,818
FY 86	651	634	10,639	10,359
FY 87	772	720	12,057	11,245
FY 88 a/	1,290	1,156	11,759	10,535
FY 89	1,640	1,399	12,193	10,404
FY 90	1,688	1,376	12,825	10,452
Net percentage change		126%		-12%

a/ New 10-year lease.

Attachment 3

Contract Obligation Comparison FY 85-90
Percentages of Total Obligations
Nominal Dollars



Panels, Research Contracts, and All Other Costs to OTA
in thousands of dollars

		Panel Contracts	Research Contracts	All Other Costs
Actual	FY 85	593	2,978	12,102
Actual	FY 86	489	1,879	12,229
Actual	FY 87	584	2,697	13,241
Actual	FY 88	378	1,898	14,575
Actual	FY 89	414	2,082	15,395
Estimate	FY 90	461	1,779	16,331
Ratio FY90 to FY85 in nominal dollars		0.78	0.60	1.35
Net % change in FY 85 constant dollars		-40%	-54%	4%

OTA'S RENTAL EXPENSES

Senator **Reid**. One of the problems that I have with the budget deals with rent expenses, which have increased 126 percent since 1985 and now consume 12 percent of your budget, as opposed to 5 percent as late as 1985. Why did you choose to renew a 10-year lease on your present quarters on Pennsylvania Avenue in 1988 instead of seeking less expensive space elsewhere, given the sharp increase? And did you consult with GSA or the Architect of the Capitol or other agencies about availability of space at that time?

Mr. **Gibbons**. We consulted with those agencies you mentioned, and I agreed to that lease when I saw that despite the fact that it was a major increase—and we have suffered from it, as I would like to elaborate—it was still the best buy we had. We came in under the market. The alternatives are all at prices substantially above that number, even though it is quite increased. But we would be delighted if we could get some relief from this.

Our other sister agencies don't have that burden of rent to pay, and it is a great burden to us because its increase has caused us to have to decrease the amount of work we are able to do in our programs. That is one reason, for instance, for our failing ability to have advisory panels, to do more timely response to requests—namely, our program activities—they have been diminished seriously because of these rent increases.

Senator **Reid**. Well, they are going to be diminished more. I mean, you've got—I don't know. You probably should have had somebody on your staff to look over the lease. This lease that you signed has an annual escalator clause to cover the landlord's profit margin. Now, I never heard of a lease like that.

Mr. **Gibbons**. There are certain interpretations in conflict in that lease, and we are presently litigating those things. I do not believe that they will attain in the long term.

Senator **Reid**. Well, Mr. Gibbons, the name speaks for itself: the Office of Technology Assessment. You should have started by looking at your own lease.

Senator Nickles, I am sure you have seen this, but this lease, they get not only the profit margin of the landlord, but also his increases in operating costs they have to cover. That is really a deal if that is upheld in the courts.

Mr. **Gibbons**. Mr. Chairman, I am not an expert in real estate. I am not trained in that. We did ask for a review of the lease from legal counsel. We understand that the return for operating expenses, increased operating expenses, and margin of profit is not at all a rarity in leases by any means, a so-called net lease. We are challenging, however, certain claims by our landlord in which we allege that the landlord is trying to charge us for what are really capital improvements rather than operating expenses. That is the only current subject of debate.

We are renting at about, if I recall, $24 a foot where the competitors are at about $32 a foot. So while we are paying more than we used to—I agree; we got a great bargain in the earlier days before Metro was completed—we are still paying under the market. If we can find space either in the new buildings being built around the old Post Office building, we would be delighted to move if we can save ourselves some money.

Senator REID. But can you get out of the lease?

Mr. GIBBONS. Yes, of course. Every Federal lease is written with an escape clause.

Senator REID. I see.

Mr. GIBBONS. So that is not going to be a problem to us if, in fact, we have that opportunity.

Senator REID. That is something I didn't know.

COOPERATION ON SUPERCONDUCTIVITY

Your justification expands upon the utility of your work for nonlegislative branch entities. I note that among your work in this you mention that the OTA cooperated with the Japanese International Superconductivity Technology Center in preparing a survey of firms involved in high temperature superconductivity research and development. Where is the center located, and do you know what its mission is?

Mr. GIBBONS. The center, as I understand it, is in Japan, and this is an interesting example of OTA trying to stretch taxpayer dollars. We needed information, in this case on the commercialization and development of high temperature superconductivity as it moves toward the marketplace. We worked with the National Science Foundation and were able to arrange with this Japanese center that they would develop similar information for Japan and share that with us as we share our results with them for simultaneous publication. It will be the first definitive information on what is happening in terms of such commercialization activities in Japan.

We are very proud of this arrangement because it did provide us an opportunity to multiply the effectiveness of our dollars by first of all involving the NSF, and second involving the Japanese center.

Senator REID. The question has arisen that maybe we are helping the Japanese in this area more than any benefit that we got out of this.

Mr. GIBBONS. I don't believe that for a minute.

Senator REID. I have a number of other questions, and we will submit those to you in writing. If you would respond within the next couple of weeks, that would be appreciated.

Mr. GIBBONS. We would be happy to do so.

Senator REID. Senator Nickles.

Senator NICKLES. Thank you very much, Mr. Chairman.

Mr. Director, I echo many of the statements that Chairman Reid has mentioned, and maybe even add a caveat or two. Let me just ask you a question. How many studies did you perform for Congress last year?

Mr. GIBBONS. I have forgotten the number of deliveries, but it was on the order of 30 deliveries to Congress, to about 80 different committees of Congress.

Senator NICKLES. Bipartisan?

Mr. GIBBONS. Bipartisan, most at the request of——

Senator NICKLES. What is the breakdown between the House and the Senate?

OTA WORKS FOR THE WHOLE CONGRESS

Mr. **Gibbons**. Just about even, and almost all the requests are signed by both the Chair and ranking minority. We try to do this in order to assure that when we undertake work, as Senator Stevens points out, that we are acting as truly a shared resource for both sides of the Hill as well as both sides of the aisle. That means we spend a lot of time in advance when someone asks us to take some work on calling, if it is not already bipartisan, on the other party and also to go to the other committees of jurisdiction so that the final proposal that we take to our bipartisan board fully reflects the interests of the committees of jurisdiction and both parties.

Senator **Nickles**. Let me ask you a question. I noticed in your statement one of the first examples which you cited is kind of interesting. It is dealing with increasing CAFE standards.

Mr. **Gibbons**. Yes.

DISCUSSION OF CAFE STANDARDS

Senator **Nickles**. You would be interested to know, I am probably the largest, or one of the largest opponents of increasing CAFE standards in the Senate. And I remembered, during the debates we have had on that issue and will have on the issue, that OTA was cited many times, many times with different results from other scientific bodies, like the National Highway Traffic Administration or whatever.

Let me ask the question more along this line: I have had the complaint, or people have made the complaint to me, that OTA has—I am not going to say a liberal agenda, but maybe adopts more of a—maybe that is because whoever is asking for the statements has that as their agenda, and OTA would be assisting in that; that is, through the CAFE standards for one, and maybe it is through other activities. I was just kind of going through the various reports which you have mentioned, and some of those which were mentioned in your report over here. I am not going to say that you are being used in that capacity, but do you think there is any justification on that complaint?

Mr. **Gibbons**. Senator, I am sure people would like to use us, but we do not let them. When it comes to CAFE standards, if you look at our numbers, our mpg numbers come down far lower than many suggest. In other words, we justify far lower mile-per-gallon standards than most of the other people talking about CAFE. You might want to check with one of my board members, Mr. Dingell, about how he feels, or Mr. Waxman, how they feel about the credibility of our work in this very difficult and challenging area.

I think we are giving a fair shot at a very difficult question for which there isn't very good data and in which, as you point out, there is a lot of controversy. But we understand that we cannot be used for partisan purposes. We have to understand the nature of the political process, and still work within that process without getting swept into politics. I think you will find upon investigation that our analysis is right in the middle of the most bipartisan and expert information Congress is getting. If it isn't, we shouldn't be in business.

Senator NICKLES. Well, I will be happy to review it further, and I will review some of the other reports. I appreciate your presentation before the committee. I don't have any other questions.

Senator REID. Senator Hatfield, we are just completing questioning of the Director of the Office of Technology Assessment. Senator Kennedy introduced him and the report that they have made to the Appropriations Committee. Do you have anything that you would like to add here this morning to this?

COMMENTS FROM SENATOR HATFIELD

Senator HATFIELD. No; I do not, Mr. Chairman.

Senator REID. We are coming to your favorite subject, the Library of Congress, in just a minute.

Senator HATFIELD. I would just like to comment that I have known the work of Dr. Gibbons over the year, and I think we are very fortunate to have him in that role. I am most pleased to review his testimony. Sorry that I am late. I was at a clean air bill caucus, and couldn't get to two places at one time.

OTA'S WORK ON GLOBAL WARMING

Senator NICKLES. Dr. Gibbons, in looking at your candidates for 1990 and 1991 on environment, you mention impacts of global warming. Has there been a request for a study on that?

Mr. GIBBONS. Yes, sir; we are doing a small study now on global warming in terms of trying to——

Senator REID. Excuse me, if I can interrupt, you might as well join the crowd. There hasn't been anybody that has appeared before a subcommittee that I have had anything to do with this year that isn't doing a study in global warming.

Senator NICKLES. That is kind of the essence. We just spent millions of dollars on acid rain. We have marked up the bill before the report was completed, but I am wondering, you know, are we duplicating other efforts that are already there?

Mr. GIBBONS. No; we are not duplicating. We have followed global warming since I came to OTA in 1979, and for years we said it is not time for a study when the committees did approach us because we felt that the information was still too vague, the uncertainties too large even to think about legislative actions. So we simply followed the literature.

We finally agreed about 1 year ago that it would be appropriate for us to undertake some work—this was requested by a number of parties—to try to pull out of the cacophony of noise about what you can do about global warming. Not so much to judge whether or not it is going to warm, but if you want to take out some risk insurance, what makes sense? We are intimately linked around the world with the people working on this, and there is no way we are going to duplicate things. I would lose my people if we tried to do duplicative work. They are not interested in duplicative work. They are there to network with people, to use information that is around, to critically review it, and to reduce out of that, some key words to help Congress understand the nature of the controversy, the opportunities that one has in the face of that uncertainty to take some productive actions if they choose to do so. Ours is a very limited study that is complementing others that are going on inside and outside Government.

Senator **Nickles**. Have you done anything on acid rain?

OTA'S WORK ON ACID RAIN

Mr. **Gibbons**. We have been in the midst of the acid rain work for longer than I would care to say, probably 7 or 8 years.

Senator **Nickles**. Have you finished a report on it?

Mr. **Gibbons**. We have finished a number of reports. We have tried to move on to other issues, but the committees have kept us involved. In fact, this has slowed down our work on global warming. But from requests from both the Senate and the House and both sides of the aisles, we have to stay in there, presumably until the issue is resolved. And I would invite you to ask any of the parties involved, House or Senate, Republican or Democrat, about the work OTA has been providing on this issue.

Senator **Nickles**. So you have reports on it?

Mr. **Gibbons**. Yes.

Senator **Nickles**. I will ask for those because it is so timely.

Mr. **Gibbons**. I would be happy to send those over to you.

Senator **Nickles**. I appreciate that. Thank you.

Senator **Reid**. Thank you very much.

Mr. **Gibbons**. Thank you, Mr. Chairman.

Senator **Reid**. I am anxious to complete reading this document that you submitted to us this morning. It was submitted to us earlier, but I haven't seen it today.

COMMENTS OF SENATOR STEVENS

Senator **Stevens**. Mr. Chairman, I wonder if I might have just a couple of minutes to make a statement on OTA. I am sorry. I had a very distinguished visitor in my office, and I apologize to the members of the committee for not getting here on time. I will make it very short.

I want to come back again to express my point of view that OTA operating, as it does, saves money for the Congress. It is a shared staff, and it does give us an opportunity to deal directly with the parts of our society that have basic information, so that they can assess the development of new technology at lower cost. Instead of having each of the committees of the Senate and each of the committees of the House that were involved in the great disaster when the *Exxon Valdez* went aground in Prince William Sound, for instance, we asked OTA to go assess the existing technology to see what was there; how good is existing technology, and how is it likely to be improved?

We could have hired those people on the Commerce Committee, on the Public Works Committee, on the Appropriations Committee in each House. Instead, we have a staff at OTA that reached out into the economy, got advice from experts, and we will be releasing that report today. It cost us an infinitesimal amount compared to what it would have cost if each one of us that had such a direct interest in that spill and had the question, really, the burning question of whether there was something else out there that could have been used and should have been used. We saved money with the concept of shared staff.

Now, I have great respect for the Congressional Research Service, for the things that Dr. Billington and the people at the Library of Congress have done. They, too, do very unique things. For instance, at my request and that of Senator Bradley, there has been a development of a whole new approach to analyzing the developments in Japan. That is not technology. They have their sphere, and I think the OTA has their sphere.

SENATOR STEVENS' TENURE AT OTA

I have been on OTA since its beginning. I have been a nay-sayer as some of them will tell you. I have said, do we really have to do these things? Is this really technology? Are we pursuing something that someone doesn't have the money for on a committee? Or are we really going into something that there are several committees interested in? And we have required multiple sponsors.

I want to urge you to look at the track record. In the time that I was chairman of OTA, OTA didn't change its staff. I didn't hire anybody at OTA. Dr. Gibbons didn't put anybody on there for me. I did sponsor one of the members of the board of advisers who served his time very well, Dr. Beistline of Alaska. But we have not made this a fiefdom. You can't find—I don't care whether it is Kennedy or Hatch or Stevens or Mo Udail. You can't find—these aren't personal staff.

So I would urge you to keep in mind why we formed that group and why we have kept it so small, why it has had the continuity of those of us who have stayed with it all the way through now. I would urge you to approve the request that we have made. It is a conservative request. There could be some cutting. You have cut before. We all have to do that. I am a member of this committee. But I think the record ought to be looked at; the track record of that group and the amount of money spent and what it has accomplished ought to be looked at.

I appreciate that, Mr. Chairman, and I would answer any questions you have. But I know that you have got to get on with Dr. Billington, so I will understand if you don't have any questions.

Senator REID. Senator Stevens, we appreciate your coming here. We know how strongly you must feel coming here and speaking. This doesn't happen often, and we are grateful to you for doing it. I have no questions.

Senator NICKLES. Are you the ranking Republican on the board?

Senator STEVENS. Yes; under our situation, I have been chairman, I think twice now. But that rotates between the House and the Senate.

Senator NICKLES. OK. Thank you.

Senator STEVENS. Thank you very much.

ADDITIONAL COMMITTEE QUESTIONS

Senator REID. Thank you. We will submit the balance of the questions to you for your written response for the record.

[The following questions were not asked at the hearing, but were submitted to the Office for response subsequent to the hearing:]

ADDITIONAL COMMITTEE QUESTIONS

QUESTION: Please list all contracts which are currently in place as well as ones planned for the future. Include the name of the contractor, the type of contract, and the nature of the work being (to be) done.

ANSWER:

LIST OF ACTIVE RESEARCH CONTRACTS

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-0785.0	Ms. Margaret Hilton	cost	$59,159

The Contractor is an In-House Contractor providing research and analytical reports and services in support of OTA's assessment of training in the workplace. Subjects of these reports include the role of cooperative labor/management programs, programs run by labor unions, the scope of the delivery system for training active work forces, etc.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-0860.0	Global Business Network	fixed	$10,000

The Contractor is writing a report which explores issues arising from the internationalization and the institutional and technological links between the securities markets in many nations. Among other topics, the report explores the commonalities and differences in regulatory mechanisms, the disparities and effects of these differences on international trading, and the current status of international regulation.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-1125.0	Shulman, Ronca, and Bucuvalas, Inc.	fixed	$43,498

The Contractor designed, administered, and analyzed a nationwide survey of U.S. employers and labor unions to determine the nature and extent of genetic testing and genetic screening/monitoring in the workplace both now and in the future.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-1765.0	Mr. Paul V. Delker	fixed	$9,500

The Contractor will prepare a report on workplace special skills instruction including the role of instructional technologies in the GM/UAW cooperative training program and other basic skills programs aimed at employed workers.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-1835.0	Dr. Don Kash	fixed	$14,934

The Contractor developed a written summary of the assessment of climate change: ozone depletion and the greenhouse effect. He assisted in the completion of an in-house OTA report on incentives and standards attempted during the energy crisis in the U.S. and abroad and how successful these approaches were. He helped the Program Manager convert 15 separate papers into 6 chapters of the main report, reviewed contractor reports, and supplied a list of qualified reviewers for each of the assessment report chapters.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-2120.0	Apogee Research, Inc.	fixed	$9,997

The Contractor will research and write a background paper for the assessment on infrastructure technologies that defines the potential benefits and limitations of public-private partnerships for financing and operating public works. The Contractor will evaluate the extent to which the private sector can contribute, in partnership with government, in refurbishing America's infrastructure and in the delivery of services in an efficient and cost effective manner.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-2295.0	Ms. Frances P. Wood	cost	$10,500

The Contractor is an In-House Contractor creating a baseline forecast of energy use for the Energy Structure and Energy Outlook projects for the Energy and Materials Program and the Climate Warming project in the Oceans and Environment Program.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-2390.0	Ms. Lois Bergeisen	cost	$7,055

The Contractor planned a workshop which included representatives of Federal agencies dealing with the needs and problems of adolescents. The Contractor selected invitees (with OTA approval), developed a questionnaire on the role of each agency with respect to adolescent issues, and wrote a report detailing the proceedings of the workshop.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-2400.0	Dr. Bruce M. Koppel	fixed	$2,000

The Contractor researched and wrote a paper that examined the various mechanisms to network agriculture and natural resources oriented programs in U.S. universities to research organizations and universities in developing countries.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-2415.0	Dr. LaVern A. Freeh	fixed	$1,500

The Contractor researched and wrote a paper that examined the possibility and value of U.S. university links with U.S. and developing country agribusiness for development purposes.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-2485.0	MedSciArtCo	fixed	$2,500

The Contractor prepared a set of illustrations showing the process of DNA analysis for forensic purposes. The Contractor prepared both color slides and hard copy for each illustration.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-2690.0	Energy and Environmental Analysis, Inc.	cost	$5,000

Contractor staff assisted OTA staff in preparing and presenting testimony on the fuel economy potential of the U.S. fleet of light duty vehicles.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-2715.0	U.S. Dept. of Energy	cost	$16,000

The DOE provided OTA with a report which details Battelle/Pacific Northwest Laboratorys' research efforts in the DOE's national laboratory system that could be commercialized providing economic, environmental, and energy conservation benefits. Technologies related to instrumentation and measurement are highlighted.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-2735.0	M. Jean Francois Miquel	cost	$100

The Contractor is a foreign visiting scholar at OTA. In exchange for $100 in reimbursable local travel funds, OTA will receive a paper concerning science, technology, and industrial policy among the U.S.'s trading partners.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-2740.0	Dr. Don D. Dwyer	fixed	$2,500

The Contractor researched and wrote a paper that examines the relevancy of training/education of foreign students from developing countries at U.S. colleges and universities who are studying agriculture, natural resource conservation/utilization, and environmental studies. The study focuses on students receiving Federal program support in their studies.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-2790.0	West Virginia University	fixed	$5,700

The Contractor wrote a report concerning a survey of the engineering staff of two U.S. chemical companies and three electronics firms which explored issues of jobs, careers, and working conditions. OTA compared these results with surveys of engineers in foreign companies in order to make analytical comparisons.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-2830.0	Academy for Educational Development	fixed	$7,500

The Contractor will research and write a report which analyzes the effectiveness of instructional technology in the training of IBM workers with a special emphasis on how large multinational corporations in the business of developing and applying technologies use technology to train its workers.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-3520.0	Ms. Linda Starke	cost	$4,800

The Contractor performed preliminary, final copy, and line editing of six chapters, four appendices, and the index of the OTA assessment entitled "Forensic Uses of DNA Tests".

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-3860.0	Columbia University	fixed	$22,841

The Contractor researched and wrote a major paper which analyzed the use of training in specific manufacturing and service sectors of the economy. The Contractor examined the textile industry and three other industries in the services sector; two of which were facing strong international competition. The Contractor discussed the overall human resources strategy of firms on the leading edge in each industry and contrasted these practices with the industry norm.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-3680.0	Dr. James Collom	fixed	$1,500

The Contractor wrote a paper on how universities cooperate in the administration, management, and implementation of international development work affecting agriculture, natural resources and the environment in developing countries.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-3780.0	Dr. Clive A. Edwards	fixed	$2,000

The Contractor delivered a paper concerning changes in university activities in support of international development, changes universities have made in their structure and workings in order to support these activities, changes in AID-university relations, etc.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-3795.0	Dr. J. Lawrence Apple	fixed	$2,000

The Contractor will prepare a paper which examines the relationship of U.S. university and U.S. Agency for International Development in promoting long-term and sustainable linkages between U.S. universities and agriculture/natural resources universities and research institutions in developing countries.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-3800.0	Dr. James Henson	fixed	$1,500

The Contractor will prepare a paper that examines the relationship of U.S. university participation in development assistance and on-going efforts to internationalize U.S. universities.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-3810.0	Northern Illinois University	fixed	$13,675

The Contractor produced a study which is the result of obtaining, analyzing, and tabulating information on State programs that subsidize training in private firms. The Contractor conducted a survey of 10 States identified as having the most extensive and comprehensive of these programs.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-3835.0	H. Rutherford Turnbull	fixed	$4,000

The Contractor will research and write a comprehensive, critical evaluation of the existing system of care for adolescents with developmental disabilities including mental retardation.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-3845.0	Dr. William Flinn	fixed	$1,500

The Contractor will examine the opportunities and obstacles universities face in expanding their base of financial support for international activities in agriculture, natural resources, and environment.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-3850.0	Dr. D. Woods Thomas	fixed	$2,000

The Contractor delivered a paper which explores the university community contention that certain of its capabilities could best benefit international development through a partnership arrangement with the US AID rather than a contractual relationship.

CNT NO:	CONTRACTOR:	FIXED/COST:	
L3-3855.0	Mr. Robert C. Stoke	fixed	$1,500

The Contractor prepared a paper that examines the importance of U.S. university constituency building to support of university development assistance activities, particularly as they relate to technical support to Third World agriculture, natural resources, and environment.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-3860.0	Ms. Danamichele Brennan	cost	$1,501

The Contractor provided support services in the revision of a draft assessment report concerning securities markets and information technology.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-3865.0	Mr. Steven Spear	cost	$1,449

The Contractor provided support services in the revision of a draft assessment report concerning securities markets and information technology.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-3910.0	Institute for Energy and Environmental Research	fixed	$10,000

The Contractor will deliver a report which examines the linkages between land use, food and energy to identify the conflicts and complimentaries between them especially as they affect the poor in developing nations. The paper will also identify ways in which technology could promote synergies or reduce conflicts in an environmentally and socially acceptable manner in order to reduce hunger and promote sustainable growth and development.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-3935.0	International Development Energy Assoc., Inc.	fixed	$10,000

The Contractor will write a report which examines the potential for clean coal burning technologies in the developing countries and to estimate the impact of such technologies on energy consumption and emissions.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-3995.0	Dr. Marc A. Zimmerman	cost	$2,649

The Contractor delivered to OTA tables produced as the result of analysis of data on rural hospitals from the survey of State rural health programs currently being conducted by OTA. The Contractor also is required to attend the final advisory panel meeting for this assessment to discuss his findings.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4000.0	Mr. David J. Farber	fixed	$3,649

The Contractor will research and write a paper of approximately 30 pages that lays out a strategy for developing and funding a national research and education network. The work shall explore the needs of the scientific and education community for networking over the next two decades.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4030.0	Dr. Philip J. Romero	cost	$622

The Contractor provided OTA with one day of consultative services concerning the building of a methodology for allocating R&D funding for OTA's International Security and Commerce Program. This is a travel reimbursement only contract.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4105.0	Dr. Edward P. Mulvey	fixed	$6,096

The Contractor will deliver a paper which critically evaluates preventive and treatment programs for pre-delinquent and delinquent youth including primary prevention, secondary prevention, and treatment programs in a variety of settings. The evaluation will include discussions of approaches, effectiveness, access costs, coordination/continuity of care, gaps in service, and policy implications.

CNT NO:	CONTRACTOR:	FIXED/COST:	COSTS
L3-4125.0	Professor Vaclav Smil	fixed	$10,000

The Contractor will deliver a report which shall comprise a case study of energy consumption issues in China. The case study will describe the current status of the energy sector, analyze the linkage between energy and the Chinese economy as a whole (including individual strategic development sectors and the environment), and investigate the process of technology transfer and adoption and the possible impact of new technologies on energy consumption and the environment.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4140.0	Dr. Darl E. Synder	fixed	$1,500

The Contractor will deliver a paper that examines the status, potential, and value of university links with private voluntary organizations for international development purposes.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4155.0	Ms. Margaret Maizel	fixed	$23,075

The Contractor prepared and delivered an extensive series of U.S. national maps on a county and/or subcounty polygon basis illurtrating hydrogeologic vulnerability, vulnerability to pesticide contamination, vulnerability of commercial fertilizer contamination , contamination from animal wastes, contamination caused by irrigation and drainage, etc.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4165.0	Resource Management International, Inc.	fixed	$24,190

The Contractor produced a series of reports on U.S. cooperation in defense technology with its European allies. The first described and explained the context within which international co-development/production of defense technologies takes place within NATO. The second report assesses the extent of international cooperation between the U.S. and its NATO allies in defense technologies and weapons systems. The third report describes changes expected as a result of the economic integration expected in 1992.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4170.0	Decision Science Consortium, Inc.	fixed	$5,000

The Contractor will research and write a report which identifies those military operations that may be subject to detrimental effects due to disruption of biological rhythms in personnel and provide a description of those military tasks that require 24 hour manning and employ shift work. The report shall discuss counter measures that could be used to lessen the negative effects of biological rhythms disruption and the research by the DoD in this area.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4175.0	Dr. Arnold S. Levine	cost	$22,000

The Contractor will deliver two reports to OTA on the problems of defining and fostering technologies that are critically important to the U.S. military. the first will describe and evaluate the output of a workshop held at OTA foreign defense firms operating and selling in the United States. The second report will describe and assess the issues of identifying technologies that are important to national security and ensuring that such technologies receive national priority.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4180.0	Professor Joo Won Lee	fixed	$13,500

The Contractor delivered a paper based on his collection and assessment of information on the training of private sector employees in South Korea and how South Korean government policies affect private sector employee training.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4245.0	Mr. Allen Greenberg	fixed	$21,000

The Contractor is writing two papers on U.S. cooperation in defense technology with its European allies. The first will be an analysis of and background information on some of the principal implications of international defense technology collaboration. The second will deal with differences in policy approaches which the European Community nations and the U.S. take toward co-development/production of military technologies and systems.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4250.0	Dr. James Garbarino	fixed	$5,000

The Contractor will research and write a paper on the adolescent victims of family abuse. The paper will include an identification of the victims of family abuse and neglect, the consequences for the individual/family/society, covariation of problems with family abuse, interventions and their effectiveness, financing solutions, and policy implications.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4255.0	Dr. Michelle Fine	fixed	$5,000

The Contractor will deliver a paper which explores the impact of the school environment on adolescent health.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4270.0	Mr. David Sheridan	cost	$9,600

The Contractor is the editor of the OTA assessment reports concerning the assessment of technology, innovation, and U.S. trade.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4275.0	Dr. James W. Richardson	fixed	$22,576

The Contractor will research and write two reports related to the impact of emerging technologies, the various size of farming operations, and alternative commodity policies on the U.S. hog and dairy industries. The Contractor is using the updated version of the FLIPSIM model developed at Texas A & M University for all analyses.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4280.0	Dr. Darrell S. Peel	fixed	$7,340

The Contractor is researching and writing two papers related to the macro-economic analyses of emerging technologies, farm policies, and demand scenarios for the dairy and hog industries.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4290.0	Gillespie, Folkner & Associates, Inc.	fixed	$19,500

The Contractor will deliver a paper which describes current processes for funding and allocating research computing resources in universities and colleges, national and regional high performance centers, and Federal research laboratories. The paper will discuss key costs and pricing issues associated with computing services, the primary considerations that affect user decisions whether to use a computer in research and which one to use, current Federal policies for supporting computer usage by researchers, etc.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4305.0	Dr. Roland D. Ciaranello	fixed	$3,000

The contractor will deliver a paper which provides a review of new developments in the understanding of molecular biology and genetic markers for psychiatric illnesses and behavioral disorders.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4310.0	Dr. Ronald A. Feldman	fixed	$5,000

The Contractor will research and write a paper which explores the issue of how society can contribute to the meaningful use of an adolescent's spare time. The paper will discuss alternatives that exist for adolescents in the use of spare time, the underlying conceptual basis(es) on which these alternatives are designed, the role played by various sectors of society in providing these alternatives, the constructiveness of these activities, etc.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4335.0	Japan-Europe Industry Research Centre	fixed	$26,068

The Contractor will research and write a report which will describe the evolution of Japan's system of workplace-based training and public policies affecting it, analyze how human capital strategies in general and workplace-training in particular aid the competitiveness of firms, industries, and the national economy, discuss the extent to which new approaches are currently contemplated or have been recently implemented, etc.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4365.0	Dr. Donald Hertzmark	fixed	$10,000

The Contractor will research and write a paper which reviews energy pricing systems in developing countries and whether these systems offer adequate incentives to use new energy efficiently, ensure adequate and reliable supplies of energy, and encourage new sources of energy.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4370.0	deLucia and Associates	fixed	$25,000

The Contractor will deliver a report which discusses the renewable energy technologies introduced in developing countries in the 1970's, the experience in the various countries in the use, operation, and maintenance of these technologies, and the implications of this experience for future deployment of renewable energy technology in developing countries. The Contractor will also discuss the use of biomass technologies in countries where there is a severe resource depletion; these technologies include improved wood burning stoves, biogas, and densification.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4375.0	Energy and Environmental Analysis, Inc.	fixed	$19,970

The Contractor will deliver a report which provides information on the energy using characteristics of the transportation sectors of developing countries, identifies and describes promising technologies to improve energy efficiency and reduce emissions, discusses the institutional factors determining the adoption of these more efficient and less polluting technologies, and evaluates the potential impact on transportation energy use.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4455.0	Ms. Karen Lissakers	fixed	$10,000

The Contractor will deliver a paper which examines the impact of developing country indebtedness on economic development and energy/environmental issues. the issues to be addressed include the progress that has been made in solving debt problems and the future constraints on economic development caused by debt, the effectiveness of "debt/nature" swaps in helping solve the debt problem while improving the global environment, whether technology could be substituted for nature, etc.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4480.0	American Council for an Energy-Efficient Economy	fixed	$7,500

The Contractor will research and write two reports for OTA. Both reports will focus on technological trends related to electricity conservation in Brazil. One of the two papers will describe the development and structure of the electricity sector in Brazil and will derive and highlight lessons for future conservation efforts.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4840.0	Dr. George Calhoun	fixed	$1,753

The contractor is preparing a paper on the use of information technologies in encouraging and supporting rural economic development.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4845.0	Mr. Dale Hatfield	fixed	$1,981

The Contractor will deliver a paper concerning land based transmission systems and their usefulness for communications in sparsely populated areas.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4895.0	Mr. George Eberstadt	cost	$15,500

The Contractor is researching and writing on outline for an assessment report chapter on Japanese trade and industrial policies to complement work already completed on the policies of South Korea and Taiwan. The Contractor is also writing a series of short reports on developments in East Asian trade negotiations and policies, high technology consortia, development issues in East Asia, progress in resolving debt issues in the Third World, etc.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-4850.0	Ms. Judy Kowalski	cost	$30,940

The Contractor is an In-House Contractor who is researching and writing a report which will provide cost and economic analyses of alternative approaches to environmental restoration and waste management technologies for nuclear weapons facilities.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5100.0	Robert A. Guttman, Esq.	fixed	$5,451

The Contractor will research and write a summary document which synthesizes all available information on the current operating costs for major medical waste facilities in disposing of medical wastes, compare costs for incineration and alternative treatment technologies as well as various pollution control technologies, and identifies data gaps and the limitations of available information.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5125.0	Dr. Scott Menard	fixed	$1,500

The contractor will research and write a report which provides an analytical description of the epidemiology of adolescents who commit non-serious crimes.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5145.0	Mr. Sebastian Remoy	cost	$13,626

The Contractor is undertaking research and writing brief reports on the research and development projects, harmonization of standards, and the local origin requirements that the European Community is undertaking with the creation of a single EC market in 1992.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5230.0	WRD Associates, Inc.	fixed	$16,800

The contractor will deliver drafted text for the assessment report on U.S. universities and development assistance based on a synthesis of commissioned papers supplemented with additional material supplied by OTA.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5235.0	Applied Energy Systems	fixed	$30,847

The Contractor will deliver an updated version of the Industrial Sector Technology Use Model in order to analyze alternative and use energy efficiency options. The Contractor will also provide a detailed plan for the modification of the model to incorporate energy use data recently released for 1985 by DOE and modify it for use on the 80386 microprocessor. The Contractor shall then install the updated model on a 80386 microcomputer designated by OTA.

CNT NO:	**CONTRACTOR:**	**FIXED/COST:**	**COST:**
L3-5240.0	Dr. Robert Miller	cost	$13,950

The Contractor will undertake a series of interviews with firms and prepare a report which explores how companies-especially those in industries facing strong international competition-view training and human resource development from a strategic viewpoint. Interviews will take place with between 10-12 firms which place significant emphasis on training in their strategies to remain competitive.

CNT NO:	**CONTRACTOR:**	**FIXED/COST:**	**COST:**
L3-5250.0	Dr. Clark S. Binkley	fixed	$7,000

The Contractor will write a paper which discusses the role of economic analysis in the RPA/NFMA process including economic analysis by program and assessment as well as the process used. The Contractor will also discuss economic analysis in the RPA Program including problems of valuation and problems of policy, design, and economic analysis in the RPA Assessment. Finally, the Contractor will deal with economics in the process including decision science approaches to benefit/cost analysis for planning, cost/benefit measurement, and missing elements of the classic decision science approach to valuing information.

CNT NO:	**CONTRACTOR:**	**FIXED/COST:**	**COST:**
L3-5260.0	Dr. Perry Hagenstein	fixed	$7,000

The Contractor will research and write a paper which discusses research and cooperative assistance programs in the 1989 RPA Program drafts including a description of how Assessment and Program drafts characterize research and assistance programs.

CNT NO:	**CONTRACTOR:**	**FIXED/COST:**	**COST:**
L3-5265.0	Resource Policy Analysis	fixed	$8,000

The Contractor will deliver a paper to OTA that discusses the place of citizen participation in strategic administrative planning (including the past role of public participation) in the RPA Assessment and Program, the role of public participation for the 1990 RPA, and the future roles of citizens in agency strategic planning. The author will also discuss whether the RPA process has shaped public understanding of National Forest management and whether the RPA process provides an adequate forum for strategic planning for renewable resources.

CNT NO:	**CONTRACTOR:**	**FIXED/COST:**	**COST:**
L3-5270.0	Meadows, Shultz and Associates, Inc.	fixed	$8,250

The Contractor will write a paper concerning biological resources in the RPA Assessment and Program. The paper will deal with measuring biological resources including stocks and the sustainability of flows, categories of indicators used in the RPA Assessment and Program, and data quality for program outputs and environmental effects. The paper will also deal with changes in biological resources including linkage of resource capability data on both flows and stock from NF plans with RPA Assessment and Program. the Contractor shall conclude a discussion of the possibility of using other, better indicators for measuring biological resources.

CNT NO:	**CONTRACTOR:**	**FIXED/COST:**	**COST:**
L3-5275.0	The Irland Group, Inc.	fixed	$8,800

The Contractor will research and write a paper which shall deal with strategic planning and RPA. The Contractor paper will focus on strategic planning as a school of thought in the 1960's and 1970's and the expectations of what that kind of planning could accomplish, the expectations of RPA, and how RPA expectations fit with the strategic planning model.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5325.0	Dr. Dale Bauman	fixed	$2,854

The Contractor will prepare a paper to be used in the workshop on bovine somatotropin and will travel to OTA to participate in the workshop.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5330.0	Dr. Terry Etherton	fixed	$2,654

The Contractor will research and write a paper to be used in the animal technology workshop. The paper will be on the topic of porcine somatotropin. The Contractor will travel to OTA for the two day workshop and participate in the discussions.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5335.0	Dr. Colin Scanes	fixed	$2,734

The Contractor shall prepare a paper to be used in the OTA animal technology workshop on poultry somatotropin. The Contractor will travel to OTA for the two day workshop and participate in the discussions.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5340.0	Dr. William Hansel	fixed	$2,854

The Contractor will deliver a paper on reproduction/embryo transfer to be used in the animal technology workshop on that topic. The Contractor will travel to OTA and participate in the two day workshop.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5345.0	Dr. B.I. Osburn	fixed	$3,178

The Contractor will research and write a paper on disease control for the animal technology workshop on that topic. The Contractor will travel to OTA and participate in the workshop discussions.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5350.0	Dr. Stanley Curtis	fixed	$2,934

The Contractor will deliver a paper to OTA on environment and animal behavior for the OTA sponsored animal technology workshop on that topic. The Contractor will travel to OTA and participate in the workshop.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5355.0	Dr. Caird Rexroad	cost	$80

The Contractor will prepare a paper on transgenic ruminants for use in the animal technologies workshop on that topic. Payment is for local travel to the OTA workshop and meal expenses.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5360.0	Dr. Vernon Pursel	cost	$80

The Contractor will prepare a paper on transgenic hogs for the OTA animal technology workshop on that topic. Payment is for local travel to the OTA workshop and for meal expenses while attending the meeting.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5365.0	Dr. Rodney Preston	fixed	$3,164

The Contractor will prepare a paper on steroid growth promotants for the OTA animal technology workshop on that topic. The Contractor will travel to OTA and participate in the discussions of the working group.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5370.0	Mr. Edward Veenhuizen	fixed	$2,834

The Contractor will prepare a paper to be used in the animal technology workshop on beta agonists. The Contractor will travel to and participate in the OTA workshop on this topic.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5375.0	Dr. Gary Cromwell	fixed	$2,844

The Contractor will prepare a paper to be used in the animal technology workshop on antibiotic growth promotants. The Contractor will travel to OTA to participate in the discussions of the working group.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5380.0	Dr. John Kopchick	fixed	$2,874

The Contractor will prepare a paper to be used in the animal technology workshop on trangenic poultry. The Contractor will travel to OTA to participate in the workshop.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5400.0	University of Massachusetts	fixed	$8,640

The Contractor will deliver a paper concerning the regulatory environment for special nursing home units for people with dementia and, in particular, a description of the Federal and State laws, codes, and regulations that potentially affect the design and operation of special care units in two of the States in which the Contractor will conduct interviews.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5405.0	Ms. Nancy Mace	cost	$10,160

The Contractor will research and write a paper which focuses on government policy on and how government can best respond to the phenomenon of special nursing home units for people with dementia. In completing this work, the Contractor will meet with representatives of various groups interested in the issue to obtain their perspectives on the development and regulation of special units.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5420.0	Dr. Steven Casler	fixed	$4,600

The Contractor will modify and make additions to the input-output energy model created for the Economic Transition project. In an effort to keep the model up-to-date and to extend its applications, the Contractor will create a pollution flow matrix from 1985 NEDS that conforms to the specifications of the OTA hybrid energy model. The Contractor will construct an input-output table that conforms to the model from BEA's 1982 537-level benchmark input-output table. The Contractor will also construct an input-output table from BEA's 1985 537-level benchmark input-output table and provide methodological assistance in the execution of the shift-share analysis of energy use from 1963 to 1985.

CNT NO:	**CONTRACTOR:**	**FIXED/COST:**	**COST:**
L3-5445.0	Brian Kahin, Esq.	fixed	$11,824

The Contractor will research and write two papers. The first will concern networking costs and pricing policies as they affect the use and allocation of computer network access. The second paper will be an issue paper that explores broader information policy constraints on use and on the offering of information services on the research network. The second paper will identify key policy issues that will affect the use and provision of services on a national research and education network as well as key stake holders.

CNT NO:	**CONTRACTOR:**	**FIXED/COST:**	**COST:**
L3-5450.0	MIT Japan Program	fixed	$36,214

The Contractor will deliver two reports to OTA on cooperation in defense technology with Japan. The first will describe and analyze the processes by which the Japanese Defense Agency and Japanese industry develop defense and defense related technologies. The report will highlight the differences in approach taken by the Japanese and the U.S. DoD and U.S. defense contractors in particular as these approaches may relate to international co-development projects and dual-use technologies. The second report will contain two or more case studies of international collaboration between the U.S. and Japan in the co-development and/or co-production of military systems.

CNT NO:	**CONTRACTOR:**	**FIXED/COST:**	**COST:**
L3-5455.0	Mr. David Sheridan	cost	$6,000

The Contractor will deliver a written statement summarizing overall suggestions to improve the organization, flow, and general readability of the draft OTA paper on emergency medical services and on the draft assessment report on rural health care. The Contractor will deliver fully edited hard copies of these documents to OTA and, then, deliver an edited version of the final assessment report.

CNT NO:	**CONTRACTOR:**	**FIXED/COST:**	**COST:**
L3-5465.0	Dr. Jacques M. Quen	fixed	$3,000

The Contractor will research and write a paper which provides an historical perspective of the treatment of mental illness. This will include a brief description of the attitudes towards the mentally ill and their treatment throughout history with a more detailed account of these topics as they pertain to the United States.

CNT NO:	**CONTRACTOR:**	**FIXED/COST:**	**COST:**
L3-5490.0	Dr. Dennis Powers	fixed	$3,764

The Contractor will prepare a paper to be used in the animal technology workshop on transgenic fish. The Contractor will travel to OTA to participate
in the discussions of the working group.

CNT NO:	**CONTRACTOR:**	**FIXED/COST:**	**COST:**
L3-5505.0	Professor Nobuo Okawara	cost	$8,777

The Contractor will produce a series of reports on U.S. cooperation in defense technology with Japan. The first will describe and explain the context within which international de-development/production of weapons systems and defense related technologies takes place in Japan. The second report will describe and analyze Japanese government policy approaches and industry policy toward international co-development and co-production of military systems and related dual-use technologies.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5520.0	Hoffman Business Assoc.	fixed	$4,000

The Contractor will research and write a paper which assists project staff in identifying the threats to security, possible available protection mechanisms, and the implications for design and operating policies for a national research and education computer network. The Contractor will describe the technical nature of security threats to the network and to the information resources on it, the available technologies for securing the network and its resources, and the implications for network architecture and for operating policies.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5535.0	University of North Carolina	fixed	$5,000

The Contractor will deliver a report which offers a critical and comprehensive review of the epidemiology, risk factors (causes), prevention, immediate and short-term treatment, and consequences of accidents and trauma for adolescents. The Contractor's report will also critique recent innovations in the prevention and treatment of accident and trauma for adolescents.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5545.0	Dr. Vaclav Smil	fixed	$10,000

The Contractor will prepare a report which deals with the following topics: a description and analysis of the major environmental problems facing the developing countries, their relative magnitude, and the contribution of the energy sector to environmental degradation; the means by which the governments of developing countries address these problems and the policies and priorities which they have adopted; the best steps to improve the natural environment in developing countries; etc.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5550.0	Mr. William J. Walsh III	fixed	$5,000

The Contractor will research and write an historical analysis of U.S. government involvement in international efforts to regulate biotechnology products and processes. The final report will document the history of U.S. government involvement and interactions with the governments of other nations and the Organization for Economic Cooperation and Development. The Contractor will then describe and catalogue U.S. efforts to harmonize international regulation of biotechnology.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5555.0	Ms. Laura Dye	cost	$14,672

The Contractor will deliver to OTA a series of products including: final versions of tables and figures incorporating agency revisions of data depicting personnel and budget allocation to water quality within USDA, EPA, USGS, TVA, and other selected Federal agencies; completed versions of selected line graphs depicting data to be agreed upon by the Contractor and the Project Director; draft summary analyses based on the all legislation pertaining to the reauthorization of the Food and Security Act of 1985; a citation report based on information gathered through the classification of research publication output resulting from biotechnology research by type of grant funding by the State Agricultural Experiment Stations; etc.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5560.0	Dr. J.A. Browning	fixed	$3,784

The Contractor will prepare a paper to be used in the plant/crop technology workshop on plant disease management. The Contractor will travel to OTA to participate in the discussions of the working group.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5565.0	Dr. George Kennedy	fixed	$2,900

The Contractor will prepare a paper to be used in the plant/crop technology workshop on insects and mites management. The Contractor will travel to OTA to participate in the discussions of the working group.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5570.0	Dr. Roger Beachy	fixed	$3,264

The Contractor will prepare a paper to be used in the plant /crop technology workshop on genetic modification for disease resistance. The Contractor will travel to OTA to participate in the discussions of the working group.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5575.0	Dr. Michael Adang	fixed	$4,100

The Contractor will deliver a paper for use in the OTA workshop on genetic modification for insect resistance. The Contractor will travel to OTA to participate in the discussions of this working group.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5580.0	Dr. Marjorie Hoy	fixed	$3,680

The Contractor will prepare a paper to be used in the OTA workshop on plant/crop technology. The Contractor will travel to OTA to participate in the discussions of the working group.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5585.0	Wharton Center for Applied Research, Inc.	fixed	$15,000

The Contractor will prepare a report on the emerging role of prototyping facilities as part of the competitive strategy of U.S. firms. The study will focus on the reasons companies invest in and support such facilities, how prototyping facilities are organized internally to meet their product development mission, how firms organize the product development process to accomplish needed interactions among the firm's R&D staff, the prototyping facility, and the marketing staff, the role that the factory floor work force plays in prototyping factories, etc.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5595.0	Dr. Steven Wiggins	fixed	$2,000

The Contractor will deliver a paper that lays out critical methodological and data issues arising from the literature in the field of Government policies and pharmaceutical R&D. The Contractor will review the literature and assess the problems and shortcomings inherent in the studies. The Contractor will then summarize the critical methodological and data issues raised by the existing studies and shall assess the policy importance of measuring pharmaceutical R&D costs, returns to pharmaceutical R&D, and profitability.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5605.0	Barakat, Howard, & Chamberlin, Inc.	fixed	$10,000

The Contractor will research and write a report which will summarize the status and outlook for electricity supply and demand in India. The Contractor will examine the historical and projected demand and prices and uses of electricity by economic sector. the Contractor will also look at the current and projected mix of capacity and energy by supply technology, the structure of the industry, and major development goals for the power sector. The Contractor report will also describe the types of demand-side management options that are available and their potential contribution to the Indian electric power system. The Contractor will then summarize past and on-going efforts to promote demand-side management in India and describe any existing obstacles to the future promotion of demand-side management.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5610.0	Dr. Ted Bradshaw	fixed	$4,350

The Contractor will deliver a paper which identifies major rural development strategies being implemented by Federal, State, and local governments, describes the role of telecommunications in specific rural development initiatives and policies, describes the criteria for successful telecommunication development policy in rural regions and provides guidelines for evaluating policy proposals, and suggests a general framework for subsequent in-depth field studies to be undertaken by OTA staff.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5615.0	Park Row, Inc.	fixed	$13,500

The Contractor will research and write a report which describes the state-of-the-art in instructional technology for worker training that concentrates on applications in the manufacturing and services industries. The report will discuss ongoing R&D and the likely future directions in instructional technology and its workplace applications over the next 5-10 years. The Contractor will assess the potential to use advanced authoring systems and training aids to make it easier for small businesses, community colleges, and others with limited resources to develop high quality training programs. The Contractor will review recent experience with military uses of instructional technology for remedial education and basic skills instruction, review military use of simulation and other technologies in training maintenance technicians, etc.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5620.0	Ms. Kathy Desmond	cost	$39,500

The Contractor will deliver to OTA a report which provides an analysis of the various technological and policy aspects and timeliness of the following topics: the incidence, nature, and causes of natural disasters in developing countries and the technological responses which could be used to ameliorate the effects of these disasters and the current and potential uses of integrated pest management in developing countries. The Contractor will interview concerned persons, scientific experts, policy makers, and Congressional staff and, then, prepare and deliver an interim report which will also identify potential study methodologies.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
L3-5625.0	Mr. David Harper Festa	fixed	$12,600

The Contractor will deliver chapters of the final OTA report on climate change: ozone depletion and the greenhouse effect. To do so, he will refine, summarize, and synthesize information gleaned from a number of contractor papers on this topic. The Contractor will also deliver edited and revised versions of the chapters dealing with less developed nations and with the Soviet Bloc. Working with an OTA modeller, he will deliver a report summarizing the OTA emissions base case and technical potential scenarios. Finally, the Contractor will deliver a summary of the legislative activity in the 101st Congress and summarize international meetings held in 1987-1989 toward developing a multilateral framework convention.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST
N3-0010.0	Ms. Julie T. Ostrowsky	cost	$25,944

The Contractor will serve as an In-House Contractor for approximately seven months. In this capacity she will write report chapters for the report on unconventional cancer treatments. These will include chapters 4, 5, 6, 7, 8, and 10 which deal with such treatments as behavioral approaches, nutritional treatments, pharmacologic and biologic treatments, etc.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-0035.0	J.F. Coates, Inc.	fixed	$4,000

The Contractor will research and write a paper which focuses on how new technologies might effect rural employment. The paper will discuss the present situation with regard to work in non-metropolitan America, the forces and factors over the past 20 years which have created that situation, the factors that are known to be influencing labor force migration in rural America, the extent to which information technology is important in rural employment, etc.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-0100.0	Dr. Terry Kinney	fixed	$1,250

The Contractor is writing a paper concerning public and private sector agricultural research issues for the 1990's based on an OTA workshop to be held on this topic. Topics will include but not be limited to a general introduction to the topic, the mission of the research system, the structure of the research system, planning in the research system, how priorities are set for the research system, and how the research system is funded.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-0215.0	EDUCOM	fixed	$4,598

The Contractor will deliver a paper which assists the Project Staff in identifying the key stake holders in the delivery of intellectual property, their respective concerns, points of view, and which will conclude with a discussion of the implications these issues will have for the creation and use of a national research network. The paper will also discuss the key players in the dissemination of intellectual property, examine issues which surround the attribution of credit, and discuss the distribution of intellectual property via a Federally funded national research network.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-0400.0	Dr. Philip Romero	cost	$14,000

The Contractor will perform a series of tasks leading to the development of a Congressional methodology for allocating Defense Dept. technology base funding. The tasks include a short written tutorial on the composition of a methodology for assigning R&D funding, a survey and summary of existing methodologies and studies, an analysis of each candidate methodology to determine the appropriateness of the methodology for Congressional purposes or as a prototype for a Congressional methodology, the development of one or more of these methodologies into a form usable by the Congress, and the delivery of a written summary guide to the methodology.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-0415.0	Dr. Larry F. Darby	fixed	$9,000

The Contractor will research and write a paper which defines and characterizes the development and evolution of global markets with particular attention to changing patterns of business organization, product development/output, investment, capital flows, and employment. The paper will also analyze and describe how these developments might affect the growth and development of the U.S. economy as a whole, specifying how different industrial and business segments might be affected. The report shall further discuss the unique characteristics of rural economies in the aggregate and broken down into meaningful subsets and identifies and describes the impacts of global changes on rural areas.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
H3-0425.0	Dr. James Fuxa	fixed	$3,208

The Contractor will research and prepare a paper on the topic of pathogens for insect control in support of the assessment of emerging agricultural technology: issues for the 1990's. The Contractor will prepare for and attend a meeting to review and critique the work of OTA staff or contractors. The Contractor will participate in a workshop that will discuss the emerging information technologies in agriculture, estimating the timing and impacts of information technologies by the year 2000 and identify issues of concern to policy makers.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
H3-0430.0	Dr. Raghavan Charudattan	fixed	$4,800

The Contractor will research and prepare a paper on the topic of biocontrol for weeds in support of the assessment of emerging agricultural technology: issues for the 1990's. The Contractor will prepare for and attend a meeting to review and critique the work of OTA staff or contractors. The Contractor will participate in a workshop that will discuss the emerging information technologies in agriculture, estimating the timing and impacts of information technologies by the year 2000 and identify issues of concern to policy makers.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
H3-0435.0	Dr. Christen Upper	cost	$1,184

The Contractor will research and prepare a paper on the topic of biocontrol for disease resistance of plants in support of the assessment of emerging agricultural technology: issues for the 1990's. The Contractor will prepare for and attend a meeting to review and critique the work of OTA staff or contractors. The Contractor will participate in a workshop that will discuss the emerging information technologies in agriculture, estimating the timing and impacts of information technologies by the year 2000 and identify issues of concern to policy makers.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
H3-0580.0	Institute for Research on Social Problems	cost	$3,250

The Contractor is producing a report which will be a comprehensive critical evaluation of health and related services available to Black adolescents. This work is being funded by the Carnegie Corporation of New York under a separate contract with that organization. The Carnegie Corporation only provided sufficient funds to cover the labor of the co-authors. This contract funds those other direct COSTs necessary for the completion of this project such as the services of research assistants , clerical support, long distance telephone COSTs, postage,supplies, etc. on a COST reimbursable basis.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
H3-0700.0	Dr. John Burke	cost	$2,372

The Contractor will research and prepare a paper on the topic of genetic modification for temperature and water stress of plants in support of the assessment of emerging agricultural technology: issues for the 1990's. The Contract will prepare for and attend a meeting to review and critique the work of OTA staff or contractors. The Contractor will participate in a workshop that will discuss the emerging information technologies in agriculture, estimating the timing and impacts of information technologies by the year 2000 and identify issues of concern to policy makers.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
H3-0705.0	Dr. Ganesh Kishore	fixed	$3,264

The Contractor will research and prepare a paper on the topic of genetic modification for week resistance in support of the assessment of emerging agricultural technology: issues for the 1990's. The Contractor will prepare for and attend a meeting to review and critique the work of OTA staff or contractors. The Contractor will participate in a workshop that will discuss the emerging information technologies in agriculture, estimating the timing and impacts of information technologies by the year 2000 and identify issues of concern to policy makers.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-0735.0	Dr. Don Hadwiger	fixed	$4,000

The Contractor will deliver a paper which identifies and describes the changes in the composition of rural populations and the interaction between such changes and the goals of rural development policies, examines the nature of American values as they apply to rural regions from both a rural and urban perspective, relates the historical evolution of these values to the goals, expectations, and results of rural development and communications policy initiatives over time. etc.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-0745.0	Dr. Kathi E. Hanna	fixed	$20,000

The Contractor will research and write a manuscript that reviews the principal tenets of human genetics, the role of genetics in disease, the state-of-the-art in genetic screening/monitoring, the validity and reliability of genetic tests, and the different types of tests and what each can tell physicians, scientists, company officials, and the worker. The Contractor will also cover advances in genetic monitoring technologies.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-0755.0	Dr. Heather E. Hudson	fixed	$3,000

The Contractor will research and write a paper in which she shall select four countries or geopolitical regions as cases for comparing the role that telecommunication policy has played with respect to economic development and provide a rationale for the selection made.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-0760.0	Dr. Donald Holt	cost	$691

The Contractor will research and prepare a paper in support of the assessment of emerging agricultural technology: issues for the 1990's. The Contractor will prepare for and attend a meeting to review and critique the work of OTA staff or contractors. The Contractor will participate in a workshop that will discuss the emerging information technologies in agriculture, estimating the timing and impacts of information technologies by the year 2000 and identify issues of concern to policy makers.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-0765.0	Dr. Gaines E. Miles	fixed	$2,533

The Contractor will research and prepare a paper on the topic of robotics in support of the assessment of emerging agricultural technology: issues for the 1990's. The Contractor will prepare for and attend a meeting to review and critique the work of OTA staff or contractors. The Contractor will participate in a workshop that will discuss the emerging information technologies in agriculture, estimating the timing and impacts of information technologies by the year 2000 and identify issues of concern to policy makers.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-0770.0	Dr. Gerald Isaacs	fixed	$2,000

The Contractor will research and prepare a paper on the topic of censor technology in support of the assessment of emerging agricultural technology: issues for the 1990's. The Contractor will prepare for and attend a meeting to review and critique the work of OTA staff or contractors. The Contractor will participate in a workshop that will discuss the emerging information technologies in agriculture, estimating the timing and impacts of information technologies by the year 2000 and identify issues of concern to policy makers.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-0775.0	Dr. Jerry R. Lambert	fixed	$2,381

The Contractor will research and prepare a paper on the topic of telecommunication and networks in support of the assessment of emerging agricultural technology: issues for the 1990's. The Contractor will prepare for and attend a meeting to review and critique the work of OTA staff or contractors. The Contractor will participate in a workshop that will discuss the emerging information technologies in agriculture, estimating the timing and impacts of information technologies by the year 2000 and identify issues of concern to policy makers.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-0780.0	Dr. Lawrence D. Jones	fixed	$2,445

The Contractor will research and prepare a paper on the topic of natural interfacing for computers in support of the assessment of emerging agricultural technology: issues for the 1990's. The Contractor will prepare for and attend a meeting to review and critique the work of OTA staff or contractors. The Contractor will participate in a workshop that will discuss the emerging information technologies in agriculture, estimating the timing and impacts of information technologies by the year 2000 and identify issues of concern to policy makers.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-0785.0	Dr. Nicholas D. Stone	fixed	$2,433

The Contractor will research and prepare a paper on the topic of crop expert systems in support of the assessment of emerging agricultural technology: issues for the 1990's. The Contractor will prepare for and attend a meeting to review and critique the work of OTA staff or contractors. The Contractor will participate in a workshop that will discuss the emerging information technologies in agriculture, estimating the timing and impacts of information technologies by the year 2000 and identify issues of concern to policy makers.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-0790.0	Dr. Michael Tomaszewski	fixed	$2,763

The Contractor will research and prepare a paper on the topic of animal expert systems in support of the assessment of emerging agricultural technology: issues for the 1990's. The Contractor will prepare for and attend a meeting to review and critique the work of OTA staff or contractors. The Contractor will participate in a workshop that will discuss the emerging information technologies in agriculture, estimating the timing and impacts of information technologies by the year 2000 and identify issues of concern to policy makers.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-0795.0	Dr. Steve Senka	fixed	$2,691

The Contractor will research and prepare a paper on the topic of business expert systems in support of the assessment of emerging agricultural technology: issues for the 1990's. The Contractor will prepare for and attend a meeting to review and critique the work of OTA staff or contractors. The Contractor will participate in a workshop that will discuss the emerging information technologies in agriculture, estimating the timing and impacts of information technologies by the year 2000 and identify issues of concern to policy makers.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-0805.0	Dr. Lou Swanson	fixed	$4,000

The Contractor will research and write a paper which summarizes and describes the present literature that seeks to identify and analyze the socio/cultural and economic barriers that rural American communities face when seeking to employ new information and communication technologies for the purpose of economic development. The Contractor shall then identify and describe the most significant obstacles that prevent rural communities from taking full economic advantage of new technological advances in the area of communications. The analysis will also deal with the matching of skills of the local populations with those required for emerging occupations, the uneven distribution of the entrepreneurial base, the problems involved in attracting the necessary capital for investment, and the limits of local rural government in initiating economic development.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-1050.0	Dr. Paul Yarbrough	fixed	$4,000

The Contractor will deliver a paper which examines the relationship between rural business development and communication infrastructure development, assesses which sectors of the rural economy have historically adopted communications and information technologies for business purposes, and which analyzes how this distribution has evolved and in what ways it may change in the future. The paper will appraise the communication and information needs of rural citizens and relate these needs to the needs of rural businesses.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-1060.0	Dr. Clifford Lynch	fixed	$4,690

The Contractor will deliver a paper to OTA which assists the Project Staff in identifying the issues surrounding electronic libraries and their uses. The paper will address issues surrounding on-line proprietary abstracting and indexing and full text databases for libraries connected with a national network. The author will examine how electronic libraries might be utilized by researchers, discuss barriers to creating an electronic library, describe the characteristics, roles, and impacts of electronic journals.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-1070.0	Breeden & Associates, Inc	fixed	$24,000

The Contractor will produce an inventory of efforts to identify and address contamination of groundwater, surface water, soils, and sediments at facilities in the Nuclear Weapons Complex through existing regulatory programs such as RCRA and CERCLA. The Contractor will identify actual or potential risks to human health and the environment that have developed as a result of contamination of the specific media. The Contractor will explore what has been done to identify contamination both on-site and off-site, characterize the hydrogeology of sites, contain contamination, and treat contamination. The paper shall also discuss a number of other issues as outlined. The report will be completed after information has been gathered through telephone interviews with EPA, state geologists, and others as well as through selected RCRA and CERCLA documents.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
M3-1210.0	Mr. Rizwan Salim	cost	$3,600

The Contractor will assist OTA in writing the draft report for the public works infrastructure study. The Contractor will read all background material, study the outline for the report, further interview each member of the project team, draft a section of the report from the material provided and, after OTA review, make such revisions as may be required.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
M3-1235.0	Ms. Frances Grace	cost	$5,861

The contractor is editing and rewriting portions of the securities markets and information technology assessment report manuscript as directed by OTA staff.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
M3-1240.0	McManus Health Policy	fixed	$4,000

The Contractor will research and write a paper which describes Medicaid eligibility and coverage policies that affect adolescents aged 10-18. The paper will be based largely on the recent 1989 survey of State Medicaid programs that was conducted by the Contractor. The review of the survey results should include a description of the survey methods, a discussion of the limitations of the data, and a comprehensive discussion of the questions requested by Program Staff.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
M3-1405.0	Information Management Consultant Services,Inc.	fixed	$1,847

The Contractor will research and write a paper on the future of the National Technical Information Service with respect to the collection, storage, and dissemination of scientific and technical information. The paper will emphasize the actions NTIS could take in collaboration with GPO, Federal science agencies and Federal STI dissemination offices to maximize the contribution to Federal STI to the achievement of national goals.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
M3-1410.0	Dr. Thomas Michael Power	fixed	$4,803

The Contractor will write a paper that offers a picture of the economic state of rural America, evaluates the effectiveness of the policy approaches toward development in the past and suggests alternative approaches for the future.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
M3-1415.0	Mr. Takeshi Mashiko	cost	$1,350

The Contractor will instruct OTA staff and selected contractors in the Japanese language. Instruction will focus on building vocabulary in the areas of trade, technology, and economic development. The class will be taught at the advanced beginner/intermediate level.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
M3-1440.0	Ms. Carter R. Blakey	cost	$7,260

The Contractor will perform preliminary, final copy and line editing of the eight chapters, six of the nine appendixes, and an index for the OTA assessment report entitled Genetic Testing in the Workplace.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-1540.0	Mr. Richie Chin	fixed	$9,447

The Contractor will research and write a paper on the subject of what economic development means for rural America. The paper shall outline, describe, and evaluate the major strategies that have been employed in trying to bring about economic development in rural America. The contractor will identify and discuss the lessons that present day policy makers might draw from this past experience.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-1630.0	Ms. Frances R. Rothstein	fixed	$10,050

The Contractor will deliver a paper which will focus on workers who are 45 years old and older with a primary emphasis on workers whose age ranges from 45 to 65 years of age. The paper will address questions such as evidence that supports or refutes the hypothesis that there are changes in the sensory, motor, cognitive, memory, and attitudinal characteristics with age. The paper will also address human resource policies that can enhance any identified positive changes with age.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-1635.0	Harold C. Wegner, Esq.	fixed	$9,000

The Contractor will write a paper which analyzes international patent protection available for biotechnological inventions. The paper will focus on a comparison of U.S. patent law and the law of other industrialized and newly industrialized nations, mechanisms and prospects for harmonization of international patent law, and the effect of current international patent law structures on U.S. competitiveness in biotechnology.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-1640.0	Bell Communications Research	cost	$702

The Contractor will research and write a paper which will assist the OTA project team in better understanding the privacy issues surrounding a Federally funded and nationally used research network.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-1645.0	Mr. Bruce L. Egan	fixed	$8,321

The Contractor will deliver a paper which serves to focus the debate on how to pay for advanced telecommunications for rural areas by evaluating the COSTs and financing options implied by various technologies for advanced rural communications. The analysis shall consider satellite, radio, fiber optics, and cable technologies in his discussion.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-1650.0	Dr. Frederick Williams	fixed	$4,891

The Contractor will write a paper which explores the function of regulatory structures and the roles for public policy in creating incentives to bring necessary components (including communications infrastructure) together for the purpose of fostering economic development in rural settings.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-1655.0	Dr. Lynn Silver	fixed	$3,400

The Contractor will prepare a background paper which will include a description of the essential drugs program in Brazil, a discussion of how Brazilians get pharmaceuticals, the training of pharmacy employees, the quality control of Brazilian pharmaceutical products, the size and sophistication of the drug industry in Brazil, consumer activism related to drugs, drug pricing systems, the drug approval process (including labeling regulation), and laws and regulations for drug advertising to physicians and consumers.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-1660.0	Dr. Kathi E. Hanna	cost	$7,425

The Contractor will work in-house with staff assisting in the formulation of strategies to approach NSF, NIH, NASA, DoD, DoE, and USDA to gather detailed information on their budget allocations for basic research. Along with the project team, the Contractor will then execute the strategies to develop information on budget allocations down to the project level, including their relevance to the goals of the agencies, and certain award characteristics as well as the methods used to allocate award. The Contractor will then assist project team members in planning and conducting a battery of interviews of agency personnel to obtain detailed explanations of data provided by the agencies.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-1720.0	Dr. Gwen Solan	cost	$300

The Contractor will travel to OTA and attend the Unconventional Cancer Treatments Advisory Panel to be available to comment on those sections of the report on which she worked when she was an OTA employee.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-1790.0	Dr. Ronald Knutson	fixed	$2,500

The Contractor will write a paper that provides a comprehensive overview of the U.S. dairy industry. The paper will include current and past production and consumption trends, technology's impact in the past and likely impact in the future, regional differences in production COSTs and profits, and future demand for milk and milk products, and viable policy options.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-0815.0	Ms. Susan Wintsch	cost	$2,450

The Contractor will provide writer-editor services on staff papers, background papers, and other interim deliverables from the assessment of emerging agricultural technology: issues for the 1990's.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-1855.0	Professor Ethan Kapstein	cost	$400

The Contractor will attend the January Advisory Panel for the assessment of international collaboration in defense technology as an observer and offer such insights as may be requested by the Program staff concerning the substance of the meeting.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-1860.0	Ms. Susan Wintsch	cost	$1,500

The Contractor will provide editing services on the OTA interim deliverable report on National level planning by the U.S. Forest Service for the assessment of renewable resource planning technologies for public land use.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2030.0	Institute for Scientific Information, Inc.	fixed	$12,092

The Contractor will conduct a series of institutional analyses that examine changes in the impact of scientific work as measured by the citation rate of published papers aggregated to the institutional level. The Contractor will produce a rank order of 100 institutions in 1973 and 1988 based on publications and/or citations, indicating their type and geographic regions. The Contractor will then develop bibliometric profiles of circa 20 institutions identified by GAO as drastically changing their rank in receipt of Federal R&D funds from 1967 to 1983. The Contractor will create a set of bibliometric indicators that might be useful for assessing and tracking U.S. performance in basic research. The Contractor will, then, draft a report on Task 2 that discusses how each proposed indicator is constructed, interpreted, and used predictively.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2035.0	Mr. David J. Lennett	fixed	$1,500

The Contractor will deliver a seminar which provides an overview of such issues as the scope of the universe of wastes regulated as hazardous or "non-hazardous" under RCRA and how special waste categories should be classified and regulated.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2040.0	S. Cohen & Associates, Inc.	fixed	$21,986

The Contractor will develop a series of approximately one dozen technology status summaries on "in situ" remediation technologies using a format approved by OTA. The format shall make provisions for summary information on operating principles, effectiveness, expertise to implement, uncertainty, COSTs, time to implement, applications experience, and risks for each technology selected. The completed status summaries will provide OTA with the informational basis for a workshop on in situ technologies. The Contractor will suggest participants for the workshop, attend the workshop, and deliver a workshop summary report.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2045.0	Mr. Robert A. Spurgin	fixed	$10,000

The Contractor will prepare a summary document including charts, tables, and figures which will synthesize all available information on the current treatment technologies for medical waste; compare incineration and alternative treatment technologies, and various pollution control technologies, on the basis of such factors as their risks, availability, operating constraints, etc.; and identify emerging technologies and treatment methods. COSTs and any other relevant waste management issues affecting the selection and feasibility of using various technologies will be noted.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2050.0	Ms. Kathryn Cox	fixed	$5,000

The Contractor will provide OTA with contacts from which she will assist the agency in developing a participant list for a workshop dealing with non-hazardous waste issues. In addition, the Contractor will assist in the development and format for the workshop. The Contractor will attend a seminar on industrial "non-hazardous waste" issues which will provide additional information needed to plan the workshop. The Contractor will attend, assist in conducting, and deliver a summary of the workshop.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2055.0	Ms. Julie Phillips	cost	$1,200

The Contractor will prepare an index for the report Neurotixicity: Identifying and Controlling Poisons of the Nervous System. After OTA staff review, the Contractor will make changes and additions and will deliver the final version to OTA's publications office.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2060.0	Mr. George Eberstadt	cost	$1,000

The Contractor will travel to Seattle, Washington to participate in the Battelle conference on the role of technology demonstration programs in aeronautics R&D.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2065.0	Mr. David Harper Foste	fixed	$5,650

The Contractor will refine, summarize and synthesize information from OTA Contractor papers and deliver to OTA the final OTA report chapters on Transportation and Manufacturing for the assessment on climate change: ozone depletion and the greenhouse effect. The Contractor will also deliver a chapter on OECD energy use by fuel type and sector which both describes trends over the past 25 years and summarizes expected growth in these countries from 1990 to 2010. The Contractor will assist in revising each of the major chapters and in incorporating reviewer comments. The Contractor will deliver an edited version of the entire OTA report.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2130.0	Dr. Yonah Alexander	fixed	$10,000

The Contractor will deliver a paper that will give a brief history of terrorist attacks on U.S. interests throughout the world over the past two decades. Major attacks against non-U.S. targets will also be considered. This paper will provide an analysis of types of attacks, types of targets, the distribution of geographic locations of attacks, and the technical tools used in the attacks. This paper will also present summarized information on terrorists, terrorist organizations, trends in targets, location, motivation, organizational evolution, etc. The Contractor will deliver a second paper that will provide an analysis of the current and near future terrorist threat to the united States using several recent major attacks as examples. The paper will assess the technical capabilities of state sponsors of terrorism with respect to weapons of mass destruction with a special emphasis on chemical and biological weapons. The paper will analyze the likely responses of terrorist groups to counter-terrorist activities and measures.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2200.0	Dr. Ronald Knutson	cost	$2,500

The Contractor will provide consultative services to the economics working group on the impact of emerging technologies on the dairy and pork production sectors.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2205.0	Ms. Blair Potter	cost	$7,000

The Contractor will provide preliminary and final copy line editing of the chapters and appendixes of the OTA special report entitled "Neural Grafting into the Brain and spinal Cord".

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2305.0	Dr. Patrick W. Hamlett	fixed	$7,000

The Contractor will develop a classification scheme for performing a content analysis of themes appearing in Task Force on Scientific Policy, House Committee on Science and Technology hearings beginning with a pilot analysis of 1-2 of the 24 hearings held. The Contractor will perform a rhetorical content analysis on a sample of the 22 remaining hearings. The Contractor will draft a report that interprets the themes of the Science Policy Task Force hearings emphasizing the place of basic research in the concerns of the Members and witnesses.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
H3-2315.0	Dr. Susan E. Cozzens	fixed	$9,200

The Contractor will compile a summary of the categories of indicators contained in the Science Indicators series, including descriptions of how these data are analyzed and presented. The Contractor will describe changes over time in the data collection, how new indicators were produced and old definitions evolved, and where categories were added or deleted. The Contractor will analyze trends to answer a series of questions posed in detail and offer perspective on the assumptions about the science community and the role of public policy reflected in the Indicator series. In addition, the Contractor will offer perspective on the issues and concerns of basic research featured in the Indicators reports and how the presentation of basic research has changed over time. The Contractor will propose new indicators to augment or supersede the existing set, alternative presentations of the materials contained in the Indicators, and other approaches to indicator construction.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
H3-2320.0	Dr. Mark A. Pollock	fixed	$7,500

The Contractor will review, and augment where necessary, an OTA compiled data base of public statements on basic research goals. The Contractor will conduct a rhetorical analysis on the database and develop a classification scheme and a series of questions on conjunction with OTA. The Contractor will construct time-lines based on the opinions of those public figures and organizations included in the database on the goals of the basic research system and draft a report that interprets the rhetoric of key political figures on basic research.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
H3-2325.0	Mr. Barton G. Brown	cost	$4,800

The Contractor will perform preliminary, final copy and line editing of all chapters and appendixes and index the OTA report entitled "Biotechnology in a Global Economy: Governmental Strategies".

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
H3-2375.0	Dr. David S. Birdsell	fixed	$10,000

The Contractor will create a database of public statements on basic goals by the Democratic and Republican parties, liberal and conservative wings, the regional caucuses, the pro and anti-defense groups, think tanks, political action committees, and other key political groups. The Contractor will develop a classification scheme and them perform a rhetorical analysis on this database. The Contractor will create time lines of the opinions of the groups by year and deliver a report that interprets the analysis.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
H3-2385.0	Dr. Harvey Averch	fixed	$5,836

The Contractor will review the research evaluation literature published since 1980. After augmenting a base literature defined by OTA, the Contractor will compile the total bibliography. The Contractor shall summarize the instances of ex post evaluations as reported in this literature and applied to national decisionmaking. A profile of the national context, type of research, subject area of research, and evidence of use will be provided for each case discovered. Characteristics of the research evaluation team and the analysis it provided will be included as well. A tabular summary of these data will be provided. The Contractor will deliver a report comprised of findings from the activities described above and including potential adaptations to the U.S. research funding system.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2390.0	Dr. Michael LeBlanc	fixed	$400

The Contractor will research and write a report which serves as a critique of statistical methods used in the paper entitled "A Statistical Analysis of the Success Rates and Residence Times for the IND, NDA and Combined Phases" by Christopher Cox, Ph.D., as back ground for a methodological workshop on estimating the COSTs of pharmaceutical R&D.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2410.0	Techmonitor, Ltd.	fixed	$8,000

The Contractor will research and write a paper which provides international data to compare with characteristics of the U.S. basic research system. The purpose is to develop an inventory of ex ante project selection methods and mechanisms used to award basic research funding in other nations, and to consider the possible adoption of the most promising methods by one or more of the Federal R&D agencies. The Contractor will seek to explore interesting differences among nations that could be adapted to the U.S. research funding system.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2465.0	Mr. Robert E. Wolf	fixed	$4,000

The Contractor will prepare a report examining the legislative history of the Multiple-Use Sustained-Yield Act of 1960, including the historical situation which led to the law's enactment and an analysis of the views of the Forest Service, the Administration, the relevant interest groups, and the various members of Congress. The Contractor will also report on the evolution of the concept of multiple use, as applied to the lands managed by the U.S. Forest Service, and how the vision of multiple use in the national forests has changed.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2490.0	Professor David L. Ratner	fixed	$5,000

The Contractor will assist with the correction and revision of a chapter dealing with the operation of American domestic markets and with related portions of a chapter dealing with their regulation. The Contractor will review and check corrections made by OTA staff, recommend additional corrections and revisions and/or restructuring of portions of the chapters where that may be appropriate. The Contractor will deliver a revised version of Chapter 3 and selected sections of Chapter 6 to OTA.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2495.0	Mr. Matthew D. Weingerg	cost	$876

The Contractor will travel to OTA to consult and brief OTA staff on recent work in superconducting technologies. The Contractor will present findings of a report entitled "Modulation of Superconducting Strip Lines by Energy Gap Suppression".

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2500.0	Dr. Theodore J. Gorton	fixed	$10,000

The Contractor will research and write a report which provides an introduction to the oil and gas sectors in developing countries covering salient features of supply, demand, institutional, and market organization as well as the present role and the environment for foreign investment in the sector. The report will also offer an assessment of the oil and gas reserve base in such countries including recent trends in resource reserves. The paper will then discuss the expansion of petroleum projection and supply including exploration, production, the role of technology, etc. The report will also discuss the potential for oil and energy supplies from the developing world under a range of price, development, technology, and policy assumptions.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2515.0	Telecommunications Systems	fixed	$10,000

The Contractor will research and write a report which will explain the physical bases for the radio frequency spectrum and which describes the concept of allocating international systems of spectrum allocation and management. It will identify and discuss the areas in the spectrum that are experiencing crowding, interference, or that may expect growth in use as a result of consumer demand or emerging technological developments. The paper will also identify and discuss the existing or emerging technological developments, alternatives to the current method of allocation, and selected characteristics of foreign systems of spectrum allocation which contrast to the manner in which this is done in the U.S.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2520.0	Dr. Larry A. Leefers	fixed	$8,664

The Contractor will research and write a report concerning National Forest Plan implementation technologies. The report will discuss implementation processes and implementation and analysis questions. It will detail categories of plan implementation technologies, describe existing technologies and evaluate existing technologies. The report will discuss opportunities for and barriers to adoption as well as future directions for implementation technologies.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2525.0	Mr. M. Granger Morgan	cost	$385

The Contractor will travel to OTA to assist OTA staff in the preparation and presentation of testimony before the House Committee on Interior and Insular Affairs on OTA's research on the health effects of electromagnetic fields.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2530.0	Gillespie, Folkner & Associates, Inc.	cost	$1,025

The Contractor will travel to OTA and provide assessment staff with consultative services concerning the structuring of the assessment report chapter about high performance computing policy.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2535.0	Mason, Bruce, and Girard, Inc.	fixed	$7,500

The Contractor will research and write a report on the relationship between national interests and State and local interests in National Forest planning. The paper will discuss the issues of the need for planning uniformity within and between regions, the extent to which planning of individual forests should be driven or limited by national goals and constraints, the extent to which planning should account for local economic and social development as well as the stability of existing communities and cultures, and the extent to which National Forest plans should account for what is happening on surrounding private lands and those managed by other public agencies.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
H3-2540.0	The Merlin Company/ Boulder, Inc.	fixed	$28,000

The Contractor will research and write a report concerning incineration technologies in use or applicable to the DOE weapons facilities. The report will also analyze the problems associated with the use of each technology as well as the opportunities in using each technology. The Contractor will conduct a literature search to prepare a list of DOE facilities to be included in the study. The Contractor will identify the types of radioactive and mixed wastes that present treatment challenges at each facility and identity which waste types are amenable to incineration. The report will discuss the state-of-the-art technologies and developing trends for each incineration type. The Contractor will identify existing incineration systems in place plus those planned at the listed facilities.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
H3-2550.0	Information Management Consultant Services, Inc.	fixed	$4,320

The Contractor will research and write a report which deals with questions about the longer term broader impacts of new information technology on the processes of research. The work will be based on a selected review of literature in the field and a further examination of the interview data collected on researcher attitudes.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
H3-2625.0	Mr. Frederic R. Sapp	fixed	$200

The Contractor will present a briefing using the software "Expert Choice" on the application of the Analytic Hierarchy Process to the problem of priority-setting for Federal funding for scientific research.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
H3-2630.0	E.H. Pechan & Associates, Inc.	fixed	$7,500

The Contractor will estimate emissions reductions and COSTs of 1) Dingell staff proposed amendment to H.R. 3030 and 2) Sharp proposed amendments to H.R. 3030. The Contractor shall construct a modeling framework for determining the number of electric generating units that would be economic to certify under each proposal. The Contractor shall then estimate the number of phase 2 allowances allocated to States under each proposal. The Contractor will estimate the fees to be paid and rebates received by States under each proposal. For the Dingell proposal, the Contractor will combine all revenue streams for the proposal, including fees, rebates, COSTs of control, and trading of allowances in both phases with the results presented by State. For the Sharp proposal, the Contractor will estimate all fees, rebates, COSTs of control, and the baking of allowances in across phases on a nationwide basis.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
H3-2635.0	Dr. Richard G. Frank	fixed	$3,000

The Contractor will research and write a paper which explores the impact of competition from generically equivalent pharmaceuticals on prices, market shares, and profits of brand-name drugs.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
H3-2640.0	Dr. Willie Pearson, Jr.	fixed	$5,329

The Contractor will assist OTA in developing a program to increase the number of minority employees and develop a program to publicize employment opportunities. The Contractor will identify prospective candidates, contacts, and institutions for the OTA Fellowship Program as well and identify possible contacts for hiring from institutions as well as individuals and suggest ways in which OTA can utilize the information. The Contractor will identify prospective participants for OTA's panels and workshops including key minority academics. The Contractor will outline a minority internship program.

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-2645.0	West Virginia University Research Corporation	fixed	$3,954

The Contractor will research and write a report which will describe the basic tenants of immunotoxicity and review the effects of toxic exposure on developing and adult immune systems, as well as latent effects.

LIST OF ACTIVE ADMINISTRATIVE CONTRACTS

CNT NO:	CONTRACTOR:	FIXED/COST:	COST:
N3-0800.0	CBIS Federal Inc.	cost	$584,073

The Contractor provides personnel for on-site facilities management and administrative support services. The contract funds eighteen individuals providing services in such areas as the day-to-day administration of the OTA Conference Center, courier services, operation of the OTA mail room, support services for the OTA Publications Office, operation of the photocopying center, accounting support, receiving, etc.

INTRODUCTION TO PANELS AND WORKING GROUPS

OTA assembles an advisory panel of stakeholders and experts for each major study to ensure that reports are objective, fair, and authoritative. These panels meet two or three times during a study. They help to shape studies by suggesting alternative approaches, reviewing documents, and critiquing reports at the final stages. No attempt is made to develop consensus among panel members; in fact, a wide diversity of views is sought. OTA retains full responsibility for the content and conclusions of all reports.

Working Group members are assembled for short-term contracts to assist OTA staff in specific aspects of a report.

Standard Panel/Working Group Statement of Work:

The purpose of the advisory panel/working group is to provide guidance to the study by representing the various groups affected by the technology being studied. The members of the panel/working group are chosen to represent diverse interests and are expected to provide the OTA staff with advice and comments about the study as it relates to these interests. Panel/working group members shall:

1. Prepare for and participate in such meetings as may be called by OTA staff to review and critique the work of OTA staff or contractors;

2. Provide oral or written suggestions as appropriate in response to draft materials or to inquiries from OTA concerning the content or method of the analysis contributing to the assessment.

LIST OF ACTIVE PANEL AND WORKING GROUP CONTRACTS

CNT NO.....	CONTRACT NAME........	COST...	COST CODE..	PANEL OR WG..	ASSESSMENT TITLE..
N30060	REED, BARRY A.	730.00	3310	PANEL	INFRASTRUCTURE TECHNOLOGIES: REBUILDING THE FOUNDATIONS
N30065	WEIGLE, THEODORE C.	875.00	3310	PANEL	INFRASTRUCTURE TECHNOLOGIES: REBUILDING THE FOUNDATIONS
N30085	ROGERS, EVERETT	1,362.00	3123	PANEL	INFORMATION AGE TECHNOLOGY & RURAL ECONOMIC DEVELOPMENT
N30130	FREY, DONALD N.	1,300.00	1215	PANEL	TRAINING IN THE WORKPLACE: IMPLICATIONS FOR U.S. COMPETITIVENESS
N30135	BARTON, PAUL	800.00	1215	PANEL	TRAINING IN THE WORKPLACE: IMPLICATIONS FOR U.S. COMPETITIVENESS
N30140	BISHOP, JOHN H.	1,300.00	1215	PANEL	TRAINING IN THE WORKPLACE: IMPLICATIONS FOR U.S. COMPETITIVENESS
N30145	CARNEVALE, ANTHONY P	400.00	1215	PANEL	TRAINING IN THE WORKPLACE: IMPLICATIONS FOR U.S. COMPETITIVENESS
N30150	DICICCO, PETER S.	700.00	1215	PANEL	TRAINING IN THE WORKPLACE: IMPLICATIONS FOR U.S. COMPETITIVENESS
N30155	FLYNN, PATRICIA M.	1,140.00	1215	PANEL	TRAINING IN THE WORKPLACE: IMPLICATIONS FOR U.S. COMPETITIVENESS
N30160	FOSTER, BADI G.	1,000.00	1215	PANEL	TRAINING IN THE WORKPLACE: IMPLICATIONS FOR U.S. COMPETITIVENESS
N30165	GLOVER, ROBERT W.	1,600.00	1215	PANEL	TRAINING IN THE WORKPLACE: IMPLICATIONS FOR U.S. COMPETITIVENESS
N30170	HILL, ANNIE	1,400.00	1215	PANEL	TRAINING IN THE WORKPLACE: IMPLICATIONS FOR U.S. COMPETITIVENESS
N30175	KNOWLES, MALCOLM S.	500.00	1215	PANEL	TRAINING IN THE WORKPLACE: IMPLICATIONS FOR U.S. COMPETITIVENESS
N30180	MORRIS, JAMES R.	850.00	1215	PANEL	TRAINING IN THE WORKPLACE: IMPLICATIONS FOR U.S. COMPETITIVENESS
N30185	PECHSTEDT, WILLIAM	1,200.00	1215	PANEL	TRAINING IN THE WORKPLACE: IMPLICATIONS FOR U.S. COMPETITIVENESS
N30190	SPANGENBERG, GAIL	850.00	1215	PANEL	TRAINING IN THE WORKPLACE: IMPLICATIONS FOR U.S. COMPETITIVENESS
N30195	CRECINE, JOHN P.	1,238.00	3122	PANEL	INFORMATION AGE TECHNOLOGY AND RESEARCH
N30200	WIGGENHORN, A. WILLI	1,500.00	1215	PANEL	TRAINING IN THE WORKPLACE: IMPLICATIONS FOR U.S. COMPETITIVENESS
N30205	NAT CENTER ON EDUCAT	800.00	1215	PANEL	TRAINING IN THE WORKPLACE: IMPLICATIONS FOR U.S. COMPETITIVENESS
N30230	EARLS, FELTON	1,511.00	2225	PANEL	ADOLESCENT HEALTH
N30235	COHEN, MICHAEL	1,791.00	2225	PANEL	ADOLESCENT HEALTH
N30240	SCHAPHORST, WILLIAM	1,442.00	3123	PANEL	INFORMATION AGE TECHNOLOGY & RURAL ECONOMIC DEVELOPMENT
N30250	BRANSCOMB, LEWIS	700.00	1213	PANEL	TECHNOLOGY, INNOVATION AND U.S. TRADE
N30260	BOSTON CONSULTING GR	500.00	1213	PANEL	TECHNOLOGY, INNOVATION AND U.S. TRADE
N30265	ASSET MANAGEMENT CO.	575.00	1213	PANEL	TECHNOLOGY, INNOVATION AND U.S. TRADE
N30270	KRUGMAN, PAUL R.	525.00	1213	PANEL	TECHNOLOGY, INNOVATION AND U.S. TRADE
N30275	LEHNERD, ALVIN P.	625.00	1213	PANEL	TECHNOLOGY, INNOVATION AND U.S. TRADE
N30280	MARKUSEN, ANN	900.00	1213	PANEL	TECHNOLOGY, INNOVATION AND U.S. TRADE
N30285	MARSHALL, RAY	775.00	1213	PANEL	TECHNOLOGY, INNOVATION AND U.S. TRADE
N30290	REGIS MCKENNA, INC.	425.00	1213	PANEL	TECHNOLOGY, INNOVATION AND U.S. TRADE
N30295	MOWERY, DAVID	775.00	1213	PANEL	TECHNOLOGY, INNOVATION AND U.S. TRADE
N30300	STERN, PAULA	230.00	1213	PANEL	TECHNOLOGY, INNOVATION AND U.S. TRADE
N30305	TYLER, GUS	500.00	1213	PANEL	TECHNOLOGY, INNOVATION AND U.S. TRADE
N30310	VOGEL, EZRA F.	250.00	1213	PANEL	TECHNOLOGY, INNOVATION AND U.S. TRADE
N30325	MIRKIN, BERNARD	1,500.00	2222	PANEL	DRUG LABELING IN DEVELOPING AND NEWLY INDUSTRIALIZED COUNTRIES
N30345	WOLF, SIDNEY	1,000.00	2222	PANEL	DRUG LABELING IN DEVELOPING AND NEWLY INDUSTRIALIZED COUNTRIES
N30350	ROWAN, REGINA	1,350.00	2222	PANEL	DRUG LABELING IN DEVELOPING AND NEWLY INDUSTRIALIZED COUNTRIES
N30355	FUJIWARA, PAULA	1,924.00	2222	PANEL	DRUG LABELING IN DEVELOPING AND NEWLY INDUSTRIALIZED COUNTRIES
N30360	FEFER, ENRIQUE	600.00	2222	PANEL	DRUG LABELING IN DEVELOPING AND NEWLY INDUSTRIALIZED COUNTRIES
N30365	COOK, JOSEPH	1,200.00	2222	PANEL	DRUG LABELING IN DEVELOPING AND NEWLY INDUSTRIALIZED COUNTRIES
N30370	GLECKMAN, HARRIS	1,200.00	2222	PANEL	DRUG LABELING IN DEVELOPING AND NEWLY INDUSTRIALIZED COUNTRIES

CNT NO.....	CONTRACT NAME	COST...	COST CODE..	PANEL OR WG..	ASSESSMENT TITLE..
N30375	JOHNSON, KEITH	600.00	2222	PANEL	DRUG LABELING IN DEVELOPING AND NEWLY INDUSTRIALIZED COUNTRIES
N30380	WERTHEIMER, ALBERT	2,300.00	2222	PANEL	DRUG LABELING IN DEVELOPING AND NEWLY INDUSTRIALIZED COUNTRIES
N30385	PERLMUTTER, JOHANNA	2,560.00	2222	PANEL	DRUG LABELING IN DEVELOPING AND NEWLY INDUSTRIALIZED COUNTRIES
N30390	MORTENSEN, MARY ELLE	2,172.00	2222	PANEL	DRUG LABELING IN DEVELOPING AND NEWLY INDUSTRIALIZED COUNTRIES
N30395	REICH, MICHAEL	1,360.00	2222	PANEL	DRUG LABELING IN DEVELOPING AND NEWLY INDUSTRIALIZED COUNTRIES
N30440	LEHR, RONALD	1,362.00	3123	PANEL	INFORMATION AGE TECHNOLOGY & RURAL ECONOMIC DEVELOPMENT
N30445	MERRICK, KAREN	1,738.00	3123	PANEL	INFORMATION AGE TECHNOLOGY & RURAL ECONOMIC DEVELOPMENT
N30450	TREVATHAN, MARGARET	1,926.00	3123	PANEL	INFORMATION AGE TECHNOLOGY & RURAL ECONOMIC DEVELOPMENT
N30455	PARKER, EDWIN	1,778.00	3123	PANEL	INFORMATION AGE TECHNOLOGY & RURAL ECONOMIC DEVELOPMENT
N30460	CALLIHAN, LLOYD	1,586.00	3123	PANEL	INFORMATION AGE TECHNOLOGY & RURAL ECONOMIC DEVELOPMENT
N30465	DILLMAN, DON	2,088.00	3123	PANEL	INFORMATION AGE TECHNOLOGY & RURAL ECONOMIC DEVELOPMENT
N30470	CONNICK, GEORGE	1,482.00	3123	PANEL	INFORMATION AGE TECHNOLOGY & RURAL ECONOMIC DEVELOPMENT
N30475	CALHOUN, GEORGE	898.00	3123	PANEL	INFORMATION AGE TECHNOLOGY & RURAL ECONOMIC DEVELOPMENT
N30480	HAWKINS, WILBUR	1,426.00	3123	PANEL	INFORMATION AGE TECHNOLOGY & RURAL ECONOMIC DEVELOPMENT
N30485	PELTON, JOSEPH	1,362.00	3123	PANEL	INFORMATION AGE TECHNOLOGY & RURAL ECONOMIC DEVELOPMENT
N30490	PLUNKETT, RICHARD	1,502.00	3123	PANEL	INFORMATION AGE TECHNOLOGY & RURAL ECONOMIC DEVELOPMENT
N30500	SCHERER, FREDERICK	1,170.00	2231	PANEL	GOVERNMENT POLICIES AND PHARMACEUTICAL R&D
N30505	SCHWARTZ, GAIL G.	922.00	3123	PANEL	INFORMATION AGE TECHNOLOGY & RURAL ECONOMIC DEVELOPMENT
N30510	NORTH CAROLINIA REAL	1,026.00	3123	PANEL	INFORMATION AGE TECHNOLOGY & RURAL ECONOMIC DEVELOPMENT
N30515	STROVER, SHARON	1,582.00	3123	PANEL	INFORMATION AGE TECHNOLOGY & RURAL ECONOMIC DEVELOPMENT
N30520	TWEETEN, LUTHER	1,086.00	3123	PANEL	INFORMATION AGE TECHNOLOGY & RURAL ECONOMIC DEVELOPMENT
N30525	WALDRON, DAVE	1,218.00	3123	PANEL	INFORMATION AGE TECHNOLOGY & RURAL ECONOMIC DEVELOPMENT
N30530	WARE, KEITH N.	1,002.00	3123	PANEL	INFORMATION AGE TECHNOLOGY & RURAL ECONOMIC DEVELOPMENT
N30545	BELLAMY, ESQ., CAROL	350.00	3310	PANEL	INTRASTRUCTURE TECHNOLOGIES: REBUILDING THE FUTURE
N30550	CRAIG, JOHNNIE LEE	945.00	3310	PANEL	INTRASTRUCTURE TECHNOLOGIES: REBUILDING THE FUTURE
N30555	DUDEK, DANIEL	750.00	3310	PANEL	INTRASTRUCTURE TECHNOLOGIES: REBUILDING THE FUTURE
N30560	KRUGER, JEROME	737.00	3310	PANEL	INTRASTRUCTURE TECHNOLOGIES: REBUILDING THE FUTURE
N30565	MOAVENZADEH, FRED	580.00	3310	PANEL	INTRASTRUCTURE TECHNOLOGIES: REBUILDING THE FUTURE
N30570	STALLWOOD, BURTON	525.00	3310	PANEL	INTRASTRUCTURE TECHNOLOGIES: REBUILDING THE FUTURE
N30575	KOENEN, AUSTIN V.	550.00	3310	PANEL	INTRASTRUCTURE TECHNOLOGIES: REBUILDING THE FUTURE
N30585	MERKIN, WILLIAM	600.00	2222	PANEL	DRUG LABELING IN DEVELOPING & NEWLY INDUSTRIALIZED COUNTRIES
N30595	STEPTOE AND JOHNSON	630.00	2222	PANEL	DRUG LABELING IN DEVELOPING & NEWLY INDUSTRIALIZED COUNTRIES
N30600	BERGLAND, ROBERT	400.00	2226	PANEL	RURAL HEALTH CARE
N30605	COLEMAN, JAMES	900.00	2226	PANEL	RURAL HEALTH CARE
N30615	DICHTER, ELIZABETH	876.00	2226	PANEL	RURAL HEALTH CARE
N30625	FICKENSCHER, KEVIN	200.00	2226	PANEL	RURAL HEALTH CARE
N30630	GARDNER, ROLAND	200.00	2226	PANEL	RURAL HEALTH CARE
N30635	STOKES, PAUL	200.00	2226	PANEL	RURAL HEALTH CARE
N30640	FOUNDATION FOR HEALT	400.00	2226	PANEL	RURAL HEALTH CARE
N30645	KINDIG, DAVID	200.00	2226	PANEL	RURAL HEALTH CARE
N30650	MELTON, T. CARTER	660.00	2226	PANEL	RURAL HEALTH CARE
N30655	MERRILL, JEFFREY	650.00	2226	PANEL	RURAL HEALTH CARE
N30660	MIIKE, LARRY	1,400.00	2226	PANEL	RURAL HEALTH CARE

CNT NO.....	CONTRACT NAME.........	COST...	COST CODE..	PANEL OR WG..	ASSESSMENT TITLE..
N30665	PICKARD, MYRNA	990.00	2226	PANEL	RURAL HEALTH CARE
N30670	ROBERTS, CAROLYN	508.80	2226	PANEL	RURAL HEALTH CARE
N30680	SYBINSKY, PETER	200.00	2226	PANEL	RURAL HEALTH CARE
N30685	KIRKSVILLE COLLEGE O	1,846.00	2226	PANEL	RURAL HEALTH CARE
N30690	VRACIU, ROBERT	870.00	2226	PANEL	RURAL HEALTH CARE
N30695	WALKER, ROBERT	880.00	2226	PANEL	RURAL HEALTH CARE
N30730	AVORN, JEROME	1,240.00	2231	PANEL	GOVERNMENT POLICIES AND PHARMACEUTICAL R&D
N30815	BLANK, ROBERT H.	1,324.00	2315	PANEL	NEW DEVELOPMENTS IN NEUROSCIENCE
N30820	CHILDRESS, JAMES	624.00	2315	PANEL	NEW DEVELOPMENTS IN NEUROSCIENCE
N30825	GAGE, FRED H.	850.00	2315	PANEL	NEW DEVELOPMENTS IN NEUROSCIENCE
N30830	GRAFSTEIN, BERNICE	570.00	2315	PANEL	NEW DEVELOPMENTS IN NEUROSCIENCE
N30835	KARTZINEL, RONALD	462.00	2315	PANEL	NEW DEVELOPMENTS IN NEUROSCIENCE
N30840	MENDELSOHN, LAURANE	1,088.00	2315	PANEL	NEW DEVELOPMENTS IN NEUROSCIENCE
N30845	INT'L UNION, UNITED	1,040.00	2315	PANEL	NEW DEVELOPMENTS IN NEUROSCIENCE
N30850	MORACZEWSKI, ALBERT	1,432.00	2315	PANEL	NEW DEVELOPMENTS IN NEUROSCIENCE
N30855	PARDES, HERBERT	812.00	2315	PANEL	NEW DEVELOPMENTS IN NEUROSCIENCE
N30860	SPENCER, PETER S.	1,418.00	2315	PANEL	NEW DEVELOPMENTS IN NEUROSCIENCE
N30865	CARSKADON, MARY A.	738.00	2315	PANEL	NEW DEVELOPMENTS IN NEUROSCIENCE
N30870	CZEISLER, CHARLES A.	658.00	2315	PANEL	NEW DEVELOPMENTS IN NEUROSCIENCE
N30875	DECOURSEY, PATRICIA	820.00	2315	PANEL	NEW DEVELOPMENTS IN NEUROSCIENCE
N30880	DINGES, DAVID F.	476.00	2315	PANEL	NEW DEVELOPMENTS IN NEUROSCIENCE
N30885	LEWY, ALFRED J.	1,420.00	2315	PANEL	NEW DEVELOPMENTS IN NEUROSCIENCE
N30890	TUREK, FRED W.	540.00	2315	PANEL	NEW DEVELOPMENTS IN NEUROSCIENCE
N30900	GALE, ROBERT	1,440.00	2315	PANEL	NEW DEVELOPMENTS IN NEUROSCIENCE
N30915	SLADEK, JOHN R.	720.00	2315	PANEL	NEW DEVELOPMENTS IN NEUROSCIENCE
N30925	TOLL, JOHN SAMPSON	600.00	1316	PANEL	INTERNATIONAL COLLABORATION IN DEFENSE TECHNOLOGY
N30930	BAHR, MORTON	400.00	1316	PANEL	INTERNATIONAL COLLABORATION IN DEFENSE TECHNOLOGY
N30935	COSTELLO, ROBERT B.	1,374.00	1316	PANEL	INTERNATIONAL COLLABORATION IN DEFENSE TECHNOLOGY
N30940	GREINKE, EVERETT D.	600.00	1316	PANEL	INTERNATIONAL COLLABORATION IN DEFENSE TECHNOLOGY
N30945	HERMAN, ROBERT J.	1,122.00	1316	PANEL	INTERNATIONAL COLLABORATION IN DEFENSE TECHNOLOGY
N30950	PIERRE, ANDREW	1,530.00	1316	PANEL	INTERNATIONAL COLLABORATION IN DEFENSE TECHNOLOGY
N30955	PRESTOWITZ, CLYDE	400.00	1316	PANEL	INTERNATIONAL COLLABORATION IN DEFENSE TECHNOLOGY
N30960	SAMUELS, RICHARD	1,662.00	1316	PANEL	INTERNATIONAL COLLABORATION IN DEFENSE TECHNOLOGY
N30965	VERNON, RAYMOND	1,262.00	1316	PANEL	INTERNATIONAL COLLABORATION IN DEFENSE TECHNOLOGY
N30970	WARREN, DALE S.	2,253.00	1316	PANEL	INTERNATIONAL COLLABORATION IN DEFENSE TECHNOLOGY
N30975	HORMATS, ROBERT D.	930.00	1316	PANEL	INTERNATIONAL COLLABORATION IN DEFENSE TECHNOLOGY
N30980	BUC, NANCY L.	600.00	2231	PANEL	GOVERNMENT POLICIES AND PHARMACEUTICAL R&D
N30985	BAILY, MARTIN NEIL	600.00	2231	PANEL	GOVERNMENT POLICIES AND PHARMACEUTICAL R&D
N30990	WILLIAM S. CAMANOR,	2,220.00	2231	PANEL	GOVERNMENT POLICIES AND PHARMACEUTICAL R&D
N30995	EDWARDS, CHARLES	1,740.00	2231	PANEL	GOVERNMENT POLICIES AND PHARMACEUTICAL R&D
N31000	ENGMAN, LEWIS A.	600.00	2231	PANEL	GOVERNMENT POLICIES AND PHARMACEUTICAL R&D
N31005	GARVEY ASSOCIATES, I	600.00	2231	PANEL	GOVERNMENT POLICIES AND PHARMACEUTICAL R&D
N31010	GREENBERG, FREDERIC	1,170.00	2231	PANEL	GOVERNMENT POLICIES AND PHARMACEUTICAL R&D

CNT NO.....	CONTRACT NAME........	COST...	COST CODE..	PANEL OR WG..	ASSESSMENT TITLE..
N31015	HELMS, ROBERT B.	650.00	2231	PANEL	GOVERNMENT POLICIES AND PHARMACEUTICAL R&D
N31020	KIMMELMAN, GENE	600.00	2231	PANEL	GOVERNMENT POLICIES AND PHARMACEUTICAL R&D
N31025	LEWENT, JUDY C.	1,160.00	2231	PANEL	GOVERNMENT POLICIES AND PHARMACEUTICAL R&D
N31030	RATHMANN, GEORGE B.	2,220.00	2231	PANEL	GOVERNMENT POLICIES AND PHARMACEUTICAL R&D
N31035	SUNDER, SHYAM	1,340.00	2231	PANEL	GOVERNMENT POLICIES AND PHARMACEUTICAL R&D
N31040	STUCKI, JACOB C.	1,800.00	2231	PANEL	GOVERNMENT POLICIES AND PHARMACEUTICAL R&D
N31045	THOMPSON, LEIGH	1,450.00	2231	PANEL	GOVERNMENT POLICIES AND PHARMACEUTICAL R&D
N31080	NICHOLS, RODNEY	1,530.00	1315	PANEL	TECHNOLOGIES FOR START AGREEMENT
N31085	CARTER, ASHTON	1,668.00	1315	PANEL	TECHNOLOGIES FOR START AGREEMENT
N31090	DRELL, SIDNEY D.	2,868.00	1315	PANEL	TECHNOLOGIES FOR START AGREEMENT
N31095	GARWIN, RICHARD	1,800.00	1315	PANEL	TECHNOLOGIES FOR START AGREEMENT
N31100	GOODBY, JAMES	600.00	1315	PANEL	TECHNOLOGIES FOR START AGREEMENT
N31105	HARRIS, WILLIAM R.	2,478.00	1315	PANEL	TECHNOLOGIES FOR START AGREEMENT
N31110	HENRY L. STIMSON CEN	600.00	1315	PANEL	TECHNOLOGIES FOR START AGREEMENT
N31115	LUKASIK, STEPHEN	2,478.00	1315	PANEL	TECHNOLOGIES FOR START AGREEMENT
N31120	MCCRORY, RAYMOND J.	1,263.00	1315	PANEL	TECHNOLOGIES FOR START AGREEMENT
N31125	METTENET, ERNEST	2,418.00	1315	PANEL	TECHNOLOGIES FOR START AGREEMENT
N31130	MEYER, STEPHEN M.	1,668.00	1315	PANEL	TECHNOLOGIES FOR START AGREEMENT
N31135	ODOM, LTG USA (RET.)	600.00	1315	PANEL	TECHNOLOGIES FOR START AGREEMENT
N31140	WHEELON, ALBERT	1,652.00	1315	PANEL	TECHNOLOGIES FOR START AGREEMENT
N31145	BENDER, CHARLES	686.00	3122	PANEL	INFORMATION AGE TECHNOLOGY AND RESEARCH
N31150	DELISI, CHARLES	930.00	3122	PANEL	INFORMATION AGE TECHNOLOGY AND RESEARCH
N31155	ESTRIN, DEBORAH	2,230.00	3122	PANEL	INFORMATION AGE TECHNOLOGY AND RESEARCH
N31160	FLAMM, KENNETH	882.00	3122	PANEL	INFORMATION AGE TECHNOLOGY AND RESEARCH
N31165	GETZ, MALCOLM	1,330.00	3122	PANEL	INFORMATION AGE TECHNOLOGY AND RESEARCH
N31170	GOLDSTEIN, IRA	1,018.00	3122	PANEL	INFORMATION AGE TECHNOLOGY AND RESEARCH
N31175	LANDWEBER, LAWRENCE	1,262.00	3122	PANEL	INFORMATION AGE TECHNOLOGY AND RESEARCH
N31180	LEDBETTER, CARL	922.00	3122	PANEL	INFORMATION AGE TECHNOLOGY AND RESEARCH
N31185	MARSH, DONALD	1,238.00	3122	PANEL	INFORMATION AGE TECHNOLOGY AND RESEARCH
N31190	MCGILL, MICHAEL	686.00	3122	PANEL	INFORMATION AGE TECHNOLOGY AND RESEARCH
N31195	NEVES, KENNETH W.	1,526.00	3122	PANEL	INFORMATION AGE TECHNOLOGY AND RESEARCH
N31200	NATIONAL CENTER FOR	962.00	3122	PANEL	INFORMATION AGE TECHNOLOGY AND RESEARCH
N31205	RICH, ELAINE	1,182.00	3122	PANEL	INFORMATION AGE TECHNOLOGY AND RESEARCH
N31215	SCHRADER, WILLIAM	706.00	3122	PANEL	INFORMATION AGE TECHNOLOGY AND RESEARCH
N31220	TOY, KEN	1,122.00	3122	PANEL	INFORMATION AGE TECHNOLOGY AND RESEARCH
N31225	UNCAPHER, KEITH	1,552.00	3122	PANEL	INFORMATION AGE TECHNOLOGY AND RESEARCH
N31245	GLASER, PAUL F.	576.00	3121	PANEL	SECURITIES MARKETS AND INFORMATION TECHNOLOGY
N31255	BRETZER, ALAN	721.00	3121	PANEL	SECURITIES MARKETS AND INFORMATION TECHNOLOGY
N31260	US DEPARTMENT OF ENE	721.00	3121	PANEL	SECURITIES MARKETS AND INFORMATION TECHNOLOGY
N31265	CLEMONS, ERIC K.	428.00	3121	PANEL	SECURITIES MARKETS AND INFORMATION TECHNOLOGY
N31270	CONLON, JR., JACK	465.00	3121	PANEL	SECURITIES MARKETS AND INFORMATION TECHNOLOGY
N31275	CRAANE, JANINE	465.00	3121	PANEL	SECURITIES MARKETS AND INFORMATION TECHNOLOGY
N31280	HARAF, WILLIAM	230.00	3121	PANEL	SECURITIES MARKETS AND INFORMATION TECHNOLOGY

CNT NO.....	CONTRACT NAME........	COST...	COST CODE..	PANEL OR WG..	ASSESSMENT TITLE..
N31285	LITAN, ROBERT E.	230.00	3121	PANEL	SECURITIES MARKETS AND INFORMATION TECHNOLOGY
N31290	MAYER, MARTIN	465.00	3121	PANEL	SECURITIES MARKETS AND INFORMATION TECHNOLOGY
N31295	MCEWEN, ROBERT	707.24	3121	PANEL	SECURITIES MARKETS AND INFORMATION TECHNOLOGY
N31300	PHILLIPS, SUSAN	651.00	3121	PANEL	SECURITIES MARKETS AND INFORMATION TECHNOLOGY
N31305	SCHWARTZ, PETER	909.00	3121	PANEL	SECURITIES MARKETS AND INFORMATION TECHNOLOGY
N31310	SHERMAN, HOWARD	826.00	3121	PANEL	SECURITIES MARKETS AND INFORMATION TECHNOLOGY
N31315	SHILLER, ROBERT	690.00	3121	PANEL	SECURITIES MARKETS AND INFORMATION TECHNOLOGY
N31325	STRUDLER, ALAN	230.00	3121	PANEL	SECURITIES MARKETS AND INFORMATION TECHNOLOGY
N31375	SHARPE, MAITLAND S.	480.00	2117	PANEL	RENEWABLE RESOURCE PLANNING TECHNOLOGIES FOR PUBLIC LAND USE
N31400	STAVELEY, GAYLORD L.	1,282.00	2117	PANEL	RENEWABLE RESOURCE PLANNING TECHNOLOGIES FOR PUBLIC LAND USE
N31425	WILLCOX, LOUISA	1,182.00	2117	PANEL	RENEWABLE RESOURCE PLANNING TECHNOLOGIES FOR PUBLIC LAND USE
N31450	COLDBERGER, MARVIN	1,458.00	1317	PANEL	USE OF TECHNOLOGY IN COUNTERING TERRORISM
N31455	LEDERBERG, JOSHUA	1,020.00	1317	PANEL	USE OF TECHNOLOGY IN COUNTERING TERRORISM
N31460	WEINER, STANLEY	1,710.00	1317	PANEL	USE OF TECHNOLOGY IN COUNTERING TERRORISM
N31465	BOYNTON, HOMER	600.00	1317	PANEL	USE OF TECHNOLOGY IN COUNTERING TERRORISM
N31470	BREMER, L. PAUL	1,530.00	1317	PANEL	USE OF TECHNOLOGY IN COUNTERING TERRORISM
N31475	BURRELL, GEOFF J.	2,042.00	1317	PANEL	USE OF TECHNOLOGY IN COUNTERING TERRORISM
N31480	CHICLES, CHRIS	2,211.00	1317	PANEL	USE OF TECHNOLOGY IN COUNTERING TERRORISM
N31485	DONAHUE, ARTHUR	600.00	1317	PANEL	USE OF TECHNOLOGY IN COUNTERING TERRORISM
N31490	GRODZINS, LEE	1,662.00	1317	PANEL	USE OF TECHNOLOGY IN COUNTERING TERRORISM
N31495	HATCHER, JOHN	2,868.00	1317	PANEL	USE OF TECHNOLOGY IN COUNTERING TERRORISM
N31500	IMAMURA, CAROLYN	3,228.00	1317	PANEL	USE OF TECHNOLOGY IN COUNTERING TERRORISM
N31505	JACKSON, WILFRED A.	1,293.00	1317	PANEL	USE OF TECHNOLOGY IN COUNTERING TERRORISM
N31510	KENKINS, BRIAN	2,538.00	1317	PANEL	USE OF TECHNOLOGY IN COUNTERING TERRORISM
N31515	KERR, DONALD	1,662.00	1317	PANEL	USE OF TECHNOLOGY IN COUNTERING TERRORISM
N31520	KROPCHECK, JOSEPH	2,268.00	1317	PANEL	USE OF TECHNOLOGY IN COUNTERING TERRORISM
N31525	BAHNSEN, PETER F.	600.00	1317	PANEL	USE OF TECHNOLOGY IN COUNTERING TERRORISM
N31530	KUPPERMAN, ROBERT	600.00	1317	PANEL	USE OF TECHNOLOGY IN COUNTERING TERRORISM
N31535	PORTER, RICHARD	600.00	1317	PANEL	USE OF TECHNOLOGY IN COUNTERING TERRORISM
N31550	NORTH CAROLINA DEPT.	733.08	2226	PANEL	RURAL HEALTH CARE
N31565	AGER, BRIAN	1,410.00	2318	PANEL	BIOTECHNOLOGY IN A GLOBAL ECONOMY
N31590	MIT	340.00	2318	PANEL	BIOTECHNOLOGY IN A GLOBAL ECONOMY
N31605	SHERBLOM, JAMES	330.00	2318	PANEL	BIOTECHNOLOGY IN A GLOBAL ECONOMY
N31690	WHICKER, F. WARD	672.00	3218	WG	CLEANING UP THE NATION'S DEFENSE NUCLEAR WASTE/WORKING GROUP ON HEALTH EFECTS OF DEFENSE WASTE
N31705	SILVER, LYNN	2,200.00	2222	WG	DRUG LABELING IN DEVELOPING COUNTRIES/WORKING GROUP
N31715	KORAN, LARRY	1,400.00	2222	WG	DRUG LABELING IN DEVELOPING COUNTRIES/WORKING GROUP
N31725	LAMY, PETER	800.00	2222	WG	DRUG LABELING IN DEVELOPING COUNTRIES/WORKING GROUP
N31735	BARNES, HARRY G.	1,262.00	1126	PANEL	NEW ENERGY TECHNOLOGIES AND DEVELOPING COUNTRIES
N31740	ADELMAN, IRMA	2,904.00	1126	PANEL	NEW ENERGY TECHNOLOGIES AND DEVELOPING COUNTRIES
N31760	BRINDIS, CLAIRE	1,350.00	2225	PANEL	ADOLESCENT HEALTH
N31765	HELLAND-HANSEN, ERIC	778.00	1126	PANEL	NEW ENERGY TECHNOLOGIES AND DEVELOPING COUNTRIES
N31770	HODGES, CARL N.	1,954.00	1126	PANEL	NEW ENERGY TECHNOLOGIES AND DEVELOPING COUNTRIES

CNT NO.....	CONTRACT NAME........	COST...	COST CODE..	PANEL OR WG..	ASSESSMENT TITLE..
N31775	OFOSU-AMAAH, WAAFAS	460.00	1126	PANEL	NEW ENERGY TECHNOLOGIES AND DEVELOPING COUNTRIES
N31780	LOVINS, AMORY	2,262.00	1126	PANEL	NEW ENERGY TECHNOLOGIES AND DEVELOPING COUNTRIES
N31795	PACHAURI, R.K.	5,757.71	1126	PANEL	NEW ENERGY TECHNOLOGIES AND DEVELOPING COUNTRIES
N31800	PEOPLES, D. LOU	2,904.00	1126	PANEL	NEW ENERGY TECHNOLOGIES AND DEVELOPING COUNTRIES
N31810	SMITH, KIRK S.	2,944.00	1126	PANEL	NEW ENERGY TECHNOLOGIES AND DEVELOPING COUNTRIES
N31830	WILLIAMS, ROBERT	962.00	1126	PANEL	NEW ENERGY TECHNOLOGIES AND DEVELOPING COUNTRIES
N31835	YINGZHONG, LU	2,904.00	1126	PANEL	NEW ENERGY TECHNOLOGIES AND DEVELOPING COUNTRIES
N31840	YUDELMAN, MONTAGUE	240.00	1126	PANEL	NEW ENERGY TECHNOLOGIES AND DEVELOPING COUNTRIES
N31845	GENERAL ELECTRIC, IN	1,302.00	1126	PANEL	NEW ENERGY TECHNOLOGIES AND DEVELOPING COUNTRIES
N31865	BLEECKER, MARGIT	443.50	2203	WG	MONITORING OF MANDATED VETERAN STUDIES/WORKING GROUP ON VETERANS STUDIES
N31870	CARLO, GEORGE	400.00	2203	WG	MONITORING OF MANDATED VETERAN STUDIES/WORKING GROUP ON VETERANS STUDIES
N31875	CASTAGNOLI, JR., NEA	837.00	2203	WG	MONITORING OF MANDATED VETERAN STUDIES/WORKING GROUP ON VETERANS STUDIES
N31880	JOHNS HOPKINS UNIVER	450.00	2203	WG	MONITORING OF MANDATED VETERAN STUDIES/WORKING GROUP ON VETERANS STUDIES
N31885	HENNEKENS, CHARLES	886.00	2203	WG	MONITORING OF MANDATED VETERAN STUDIES/WORKING GROUP ON VETERANS STUDIES
N31890	KULLER, LEWIS	820.00	2203	WG	MONITORING OF MANDATED VETERAN STUDIES/WORKING GROUP ON VETERANS STUDIES
N31895	LEONARD, CLAIRE	1,070.00	2203	WG	MONITORING OF MANDATED VETERAN STUDIES/WORKING GROUP ON VETERANS STUDIES
N31900	REMINGTON, RICHARD	1,054.60	2203	WG	MONITORING OF MANDATED VETERAN STUDIES/WORKING GROUP ON VETERANS STUDIES
N31920	BURGESS, ANN W.	1,354.00	2225	PANEL	ADOLESCENT HEALTH
N31925	DELANEY, DELORES L.	1,070.00	2225	PANEL	ADOLESCENT HEALTH
N31930	ENGLISH, ABIGAIL	1,350.00	2225	PANEL	ADOLESCENT HEALTH
N31935	GIBBS, JEWELLE TAYLO	1,550.00	2225	PANEL	ADOLESCENT HEALTH
N31940	HAYES-BAUTISTA, DAVI	600.00	2225	PANEL	ADOLESCENT HEALTH
N31945	HEIN, KAREN	1,007.08	2225	PANEL	ADOLESCENT HEALTH
N31950	IRWIN, JR., CHARLES	1,642.00	2225	PANEL	ADOLESCENT HEALTH
N31955	JOHNSON, ROBERT	970.00	2225	PANEL	ADOLESCENT HEALTH
N31960	KAZDIN, ALAN	1,172.00	2225	PANEL	ADOLESCENT HEALTH
N31965	LAFROMBOISE, TERESA	1,350.00	2225	PANEL	ADOLESCENT HEALTH
N31970	LEHNHARD, MARY NELL	600.00	2225	PANEL	ADOLESCENT HEALTH
N31975	MATULA, BARBARA D.	950.00	2225	PANEL	ADOLESCENT HEALTH
N31980	MILLMAN, ROBERT	1,070.00	2225	PANEL	ADOLESCENT HEALTH
N31985	OFFER, DANIEL	1,175.00	2225	PANEL	ADOLESCENT HEALTH
N31990	PAEZ, LETICIA	1,400.00	2225	PANEL	ADOLESCENT HEALTH
N31995	PERRY, CHERYL	400.00	2225	PANEL	ADOLESCENT HEALTH
N32000	PETERSEN, ANNE C.	970.00	2225	PANEL	ADOLESCENT HEALTH
N32005	POWELL, LEE ETTA	600.00	2225	PANEL	ADOLESCENT HEALTH

CNT NO.....	CONTRACT NAME........	COST...	COST CODE..	PANEL OR WG..	ASSESSMENT TITLE..
N32010	SPILLETT, ROXANNE	1,070.00	2225	PANEL	ADOLESCENT HEALTH
N32015	THOMPSON, MYRON	2,500.00	2225	PANEL	ADOLESCENT HEALTH
N32020	TETELMAN, EDWARD	970.00	2225	PANEL	ADOLESCENT HEALTH
N32025	GRAF, MICHAEL	1,600.00	2225	PANEL	ADOLESCENT HEALTH
N32070	BOOTH, CHARLES	50.00	2228	WG	MEDICARE'S PRESCRIPTION DRUG BENEFIT/WORKING GROUP ON RECOMBINANT ERYTHROPOIETIN: PAYMENT OPTIONS FOR MEDICARE
N32075	DIAMOND, LOUIS	20.00	2228	WG	MEDICARE'S PRESCRIPTION DRUG BENEFIT/WORKING GROUP ON RECOMBINANT ERYTHROPOIETIN: PAYMENT OPTIONS FOR MEDICARE
N32080	FRATANTONI, JOSEPH	20.00	2228	WG	MEDICARE'S PRESCRIPTION DRUG BENEFIT/WORKING GROUP ON RECOMBINANT ERYTHROPOIETIN: PAYMENT OPTIONS FOR MEDICARE
N32085	HORNBROOK, MARK	1,000.00	2228	WG	MEDICARE'S PRESCRIPTION DRUG BENEFIT/WORKING GROUP ON RECOMBINANT ERYTHROPOIETIN: PAYMENT OPTIONS FOR MEDICARE
N32090	MCCONNELL, BRUCE	422.00	3122	WG	INFORMATION TECHNOLOGY AND RESEARCH/WORKING GROUP ON NETWORKING (HARVARD)
N32095	MCKERCHER, PATRICK	800.00	2228	WG	MEDICARE'S PRESCRIPTION DRUG BENEFIT/WORKING GROUP ON RECOMBINANT ERYTHROPOIETIN: PAYMENT OPTIONS FOR MEDICARE
N32105	POLLARD, MICHAEL R	220.00	2228	WG	MEDICARE'S PRESCRIPTION DRUG BENEFIT/WORKING GROUP ON RECOMBINANT ERYTHROPOIETIN: PAYMENT OPTIONS FOR MEDICARE
N32110	PULIDO, MARK A.	950.00	2228	WG	MEDICARE'S PRESCRIPTION DRUG BENEFIT/WORKING GROUP ON RECOMBINANT ERYTHROPOIETIN: PAYMENT OPTIONS FOR MEDICARE
N32115	NOAM, ELI M.	390.00	3122	WG	INFORMATION TECHNOLOGY AND RESEARCH/WORKING GROUP ON NETWORKING (HARVARD)
N32120	THOMAS, JOSEPH	750.00	2228	WG	MEDICARE'S PRESCRIPTION DRUG BENEFIT/WORKING GROUP ON RECOMBINANT ERYTHROPOIETIN: PAYMENT OPTIONS FOR MEDICARE
N32125	WOLF, SIDNEY	220.00	2228	WG	MEDICARE'S PRESCRIPTION DRUG BENEFIT/WORKING GROUP ON RECOMBINANT ERYTHROPOIETIN: PAYMENT OPTIONS FOR MEDICARE
N32135	BREWER, WILLIAM A.	4,484.00	3218	PANEL	CLEANING UP THE NATION'S DEFENSE NUCLEAR WASTE
N32140	COHEN, NORMAN	1,092.00	3218	PANEL	CLEANING UP THE NATION'S DEFENSE NUCLEAR WASTE
N32145	DAVIDSON, ROGER H.	460.00	3218	PANEL	CLEANING UP THE NATION'S DEFENSE NUCLEAR WASTE
N32150	DAVIS, GARY A.	1,542.00	3218	PANEL	CLEANING UP THE NATION'S DEFENSE NUCLEAR WASTE
N32155	EAGAN, PATRICK D.	1,542.00	3218	PANEL	CLEANING UP THE NATION'S DEFENSE NUCLEAR WASTE
N32160	HUGHART, JOSEPH	892.00	3218	PANEL	CLEANING UP THE NATION'S DEFENSE NUCLEAR WASTE
N32165	JASNY, GEORGE	1,442.00	3218	PANEL	CLEANING UP THE NATION'S DEFENSE NUCLEAR WASTE
N32170	MANGIONE, ELLEN J.	1,284.00	3218	PANEL	CLEANING UP THE NATION'S DEFENSE NUCLEAR WASTE
N32175	NEILL, ROBERT H.	1,442.00	3218	PANEL	CLEANING UP THE NATION'S DEFENSE NUCLEAR WASTE
N32180	PAULSEN, GLENN	1,492.00	3218	PANEL	CLEANING UP THE NATION'S DEFENSE NUCLEAR WASTE
N32185	SALES, JACQUELINE W.	460.00	3218	PANEL	CLEANING UP THE NATION'S DEFENSE NUCLEAR WASTE
N32210	ACHTERBERG, JEANNE	1,167.00	2219	PANEL	UNCONVENTIONAL CANCER TREATMENTS
N32215	BLOCK, KEITH	1,165.00	2219	PANEL	UNCONVENTIONAL CANCER TREATMENTS
N32220	CASSILETH, BARRIE	837.00	2219	PANEL	UNCONVENTIONAL CANCER TREATMENTS
N32225	COLLIN, JONATHAN	1,657.00	2219	PANEL	UNCONVENTIONAL CANCER TREATMENTS
N32230	EDMONSON, JOHN H.	997.00	2219	PANEL	UNCONVENTIONAL CANCER TREATMENTS
N32235	EYERLY, ROBERT C.	837.00	2219	PANEL	UNCONVENTIONAL CANCER TREATMENTS

CNT NO.....	CONTRACT NAME........	COST...	COST CODE..	PANEL OR WG..	ASSESSMENT TITLE..
N32240	FINK, JOHN	991.61	2219	PANEL	UNCONVENTIONAL CANCER TREATMENTS
N32245	GEORGE, STEPHEN L.	400.00	2219	PANEL	UNCONVENTIONAL CANCER TREATMENTS
N32250	HILDENBRAND, GAR	1,255.00	2219	PANEL	UNCONVENTIONAL CANCER TREATMENTS
N32255	LERNER, MICHAEL	1,255.00	2219	PANEL	UNCONVENTIONAL CANCER TREATMENTS
N32260	LEWIS, BRIAN J.	400.00	2219	PANEL	UNCONVENTIONAL CANCER TREATMENTS
N32265	MCDIVITT, ROBERT W.	1,107.00	2219	PANEL	UNCONVENTIONAL CANCER TREATMENTS
N32270	MONACO, GRACE POWERS	600.00	2219	PANEL	UNCONVENTIONAL CANCER TREATMENTS
N32275	OETTGEN, HERBERT F.	400.00	2219	PANEL	UNCONVENTIONAL CANCER TREATMENTS
N32280	O'REGAN, BRENDAN	1,255.00	2219	PANEL	UNCONVENTIONAL CANCER TREATMENTS
N32285	SHEALY, C. NORMAN	1,107.00	2219	PANEL	UNCONVENTIONAL CANCER TREATMENTS
N32290	WEIL, ANDREW T.	400.00	2219	PANEL	UNCONVENTIONAL CANCER TREATMENTS
N32330	ELION, GERTRUDE	486.00	3313	PANEL	BASIC RESEARCH FOR THE 1990S
N32335	HEALY, BERNADINE P.	569.00	3313	PANEL	BASIC RESEARCH FOR THE 1990S
N32340	LEDERMAN, LEON	761.40	3313	PANEL	BASIC RESEARCH FOR THE 1990S
N32345	MARRETT, CORA	861.00	3313	PANEL	BASIC RESEARCH FOR THE 1990S
N32350	MYERS, ROBERT	774.55	3313	PANEL	BASIC RESEARCH FOR THE 1990S
N32355	POSTMA, HERMAN	779.10	3313	PANEL	BASIC RESEARCH FOR THE 1990S
N32360	WISE, GEORGE	255.00	3313	PANEL	BASIC RESEARCH FOR THE 1990S
N32370	SHAW, LEWIS	1,072.00	3218	PANEL	CLEANING UP THE NATIONS DEFENSE NUCLEAR WASTE
N32380	KAHN, BERND	1,472.00	3218	PANEL	CLEANING UP THE NATIONS DEFENSE NUCLEAR WASTE
N32395	MCGOWAN, ALAN	519.00	3313	PANEL	BASIC RESEARCH FOR THE 1990S
N32400	DOAN, HERBERT	631.00	3313	PANEL	BASIC RESEARCH FOR THE 1990S
N32405	MASSY, WILLIAMS	917.73	3313	PANEL	BASIC RESEARCH FOR THE 1990S
N32415	GLUCK, HAZEL	515.00	3310	PANEL	INFRASTRUCTURE TECHNOLOGIES: REBUILDING THE FOUNDATION
N32425	HALL, JR., ANTHONY W	890.00	3310	PANEL	INFRASTRUCTURE TECHNOLOGIES: REBUILDING THE FOUNDATION
N32430	BOND, BARBARA	361.00	3219	WG	MEDICAL WASTE AND OTHER "NON-HAZARDOUS" SOLID WASTE ISSUES/ WORKING GROUP ON INDUSTRIAL NON-HAZARDOUS WASTE
N32445	MOLLERE, WILLIAM	495.00	3219	WG	MEDICAL WASTE AND OTHER "NON-HAZARDOUS" SOLID WASTE ISSUES/ WORKING GROUP ON INDUSTRIAL NON-HAZARDOUS WASTE
N32460	WOODHOUSE, KAREN	563.67	3219	WG	MEDICAL WASTE AND OTHER "NON-HAZARDOUS" SOLID WASTE ISSUES/ WORKING GROUP ON INDUSTRIAL NON-HAZARDOUS WASTE
N32470	FISHER, DARLEEN	422.00	3122	WG	INFORMATION TECHNOLOGY AND RESEARCH/WORKING GROUP ON NETWORKING (HARVARD)
N32475	KILINGENSTEIN, KEN	764.00	3122	WG	INFORMATION TECHNOLOGY AND RESEARCH/WORKING GROUP ON NETWORKING (HARVARD)
N32480	WOLFF, STEPHEN	422.00	3122	WG	INFORMATION TECHNOLOGY AND RESEARCH/WORKING GROUP ON NETWORKING (HARVARD)
N32510	WIDNALL, SHEILA	565.00	3313	PANEL	BASIC RESEARCH FOR THE 1990'S
N32545	GREER, LINDA	200.00	3219	WG	MEDICAL WASTE AND OTHER "NON-HAZARDOUS" SOLID WASTE ISSUES/ WORKING GROUP ON INDUSTRIAL NON-HAZARDOUS WASTE
N32555	BERNHARDT, JUDY HAYE	590.00	2316	PANEL	GENETIC TESTING IN THE WORKPLACE
N32560	BUFFLER, PATRICIA A.	925.00	2316	PANEL	GENETIC TESTING IN THE WORKPLACE
N32565	CHERNIACK, MARTIN	565.00	2316	PANEL	GENETIC TESTING IN THE WORKPLACE

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                                            COST    PANEL
CNT NO.....CONTRACT NAME........   COST...  CODE..  OR WG..     ASSESSMENT TITLE.........................................................

N32570     FENOLIO, KURT R.         950.00  2316     PANEL      GENETIC TESTING IN THE WORKPLACE
N32575     FRIEDMANN, THEODORE      950.00  2316     PANEL      GENETIC TESTING IN THE WORKPLACE
N32580     KARRH, BRUCE W.          420.00  2316     PANEL      GENETIC TESTING IN THE WORKPLACE
N32585     LEGATOR, MARVIN S.       925.00  2316     PANEL      GENETIC TESTING IN THE WORKPLACE
N32590     MALTBY, LEWIS L.         400.00  2316     PANEL      GENETIC TESTING IN THE WORKPLACE
N32595     MAZZOCCHI, TONY          785.00  2316     PANEL      GENETIC TESTING IN THE WORKPLACE
N32600     MILLER, KENNETH          960.00  2316     PANEL      GENETIC TESTING IN THE WORKPLACE
N32605     MURRAY, THOMAS H.        475.00  2316     PANEL      GENETIC TESTING IN THE WORKPLACE
N32610     RICCARDI, VINCENT M.     925.00  2316     PANEL      GENETIC TESTING IN THE WORKPLACE
N32615     ROBBINS, ANTHONY         470.00  2316     PANEL      GENETIC TESTING IN THE WORKPLACE
N32620     ROTHSTEIN, MARK A.       925.00  2316     PANEL      GENETIC TESTING IN THE WORKPLACE
N32650     HORNBERGER, GEORGE H     627.00  3218     PANEL      CLEANING UP THE NATION'S DEFENSE NUCLEAR WASTE

327 Records Processed
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ANTICIPATED CONTRACTS FOR REMAINDER OF FY90

The following list represents contracts which are in planning or processing. There will be more as new work gets underway.

CONTRACTOR:	COST:
To Be Selected	$8,000

PURPOSE:
The Contractor will write an assessment chapter on industrial policies pursued by South Korea and Japan.

CONTRACTOR:	COST:
To Be Selected	$12,500

PURPOSE:
The Contractor will assist OTA staff in Japan to collect and analyze data and to interview business executives and government officials in connection with a case study on the aircraft industry and OTA's work on Japanese industries and trade policies for the Technology, Innovation, and U.S. Trade assessment.

CONTRACTOR:	COST:
To Be Selected	$20,000

PURPOSE:
The Contractor will collect data and perform analysis on a case study of the U.S., Japanese, and European aircraft industries for the Technology, Innovation, and U.S. Trade assessment.

CONTRACTOR:	COST:
To Be Selected	$20,000

PURPOSE:
The Contractor will collect and perform analysis on a variety of tasks pertaining to the European Community 1992 portion of the Technology, Innovation, and U.S. Trade assessment.

CONTRACTOR:	COST:
To Be Selected	$5,000

PURPOSE:
The Contractor will perform editorial services for the Worker Training assessment.

CONTRACTOR:	COST:
To Be Selected	$5,000

PURPOSE:
The Contractor will provide comparative data and economic analysis of the defense industries in the U.S., Western Europe, and the Western Pacific.

CONTRACTOR:	COST:
To Be Selected	$1,000

PURPOSE:
The Contractor will write a follow-up piece on his previous work concerning critical defense technologies.

CONTRACTOR:	COST:
To Be Selected	$5,000

PURPOSE:

The Contractor will provide editing and technical writing services related to the sections of the ICDT final report that deal with Japan and Korea.

CONTRACTOR:	COST:
To Be Selected	$1,500

PURPOSE:

The Contractor will provide consultative services to OTA, analysis, and writing on the defense industries in the Western Pacific.

CONTRACTOR:	COST:
Workshops (3)	$18,000

PURPOSE:

Workshops on in situ remediation technologies for soils and groundwater, high-level radioactive waste disposal, and TRU waste treatment and disposal.

CONTRACTOR:	COST:
To Be Selected	$25,000

PURPOSE:

The Contractor will research and write a report on mixed waste to analyze the DOE program and to explore alternatives for treating, storing, and disposing of mixed radioactive wastes.

CONTRACTOR:	COST:
To Be Selected	$10,000

PURPOSE:

The Contractor will edit draft and final chapters of the assessment report on cleaning up the Nation's defense nuclear waste.

CONTRACTOR:	COST:
Panel	$9,000

PURPOSE:

Review panel on medical wastes.

CONTRACTOR:	COST:
Various-To Be Selected	$60,000

PURPOSE:

The Energy and Materials Program anticipates a series of research contracts to be executed prior to the conclusion of FY 1990 on the potential and prospects for commercial development of energy efficient technologies in all sectors of the U.S. economy.

CONTRACTOR:	COST:
To Be Selected	$1,000

PURPOSE:

The Contractor will write a short background paper on the epidemiology related to DOE nuclear weapons facilities.

CONTRACTOR:	COST:
To Be Selected	$7,000

PURPOSE:

The Contractor will provide editing services for Neuro/Rhythms report.

CONTRACTOR:	COST:
To Be Selected	$1,200

PURPOSE:

The Contractor will provide indexing services for the Neuro/Grafts report.

CONTRACTOR:	COST:
Working group for assessment on new developments in neuroscience	$500

PURPOSE:

Working group on shift work.

CONTRACTOR:	COST:
Working group for assessment on genetic testing in the workplace	$3,000

PURPOSE:

Working group to assess survey results of genetic testing in the workplace.

CONTRACTOR:	COST:
To Be Selected	$8,000

PURPOSE:

U.S. competitiveness in biotechnology: agriculture and food

CONTRACTOR:	COST:
To Be Selected	$3,000

PURPOSE:

The Contractor will explore the development of commercial biotechnology in environmental sciences.

CONTRACTOR:	COST:
To Be Selected	$5,000

PURPOSE:

The Contractor will provide editing services the assessment ofbiotechnology in a global economy: commercial integration.

CONTRACTOR:	**COST:**
To Be Selected	$2,000

PURPOSE:

Summer intern for biotechnology in a global economy.

CONTRACTOR:	**COST:**
Panel on assessment of policy issues in the prevention and treatment of osteoporosis	$12,000

PURPOSE:

Panel on osteoporosis.

CONTRACTOR:	**COST:**
To Be Selected	$5,000

PURPOSE:

The Contractor will conduct a survey of popular literature about osteoporosis.

CONTRACTOR:	**COST:**
To Be Selected	$10,000

PURPOSE:

The Contractor will conduct survey of prevention and treatment of osteoporosis in other countries.

CONTRACTOR:	**COST:**
Panel for assessment of federal policy issues in the division and regulation of special care units for persons with dementia	$10,000

PURPOSE:

Panel on special care units.

CONTRACTOR:	**COST:**
Working group for assessment of non-cancer health risks	$8,000

PURPOSE:

Working group on non-cancer health risks.

CONTRACTOR:	**COST:**
To Be Selected	$5,000

PURPOSE:

Follow-on work on new science indicators for the assessment of basic research for the 1990's.

CONTRACTOR:	COST:
To Be Selected	$3,000

PURPOSE:
The Contractor will conduct an analysis of attitudinal data on research priorities and federal funding and management of science based on survey information.

CONTRACTOR:	COST:
To Be Selected	$4,000

PURPOSE:
The Contractor will explore evaluation methodology and application for research planning.

CONTRACTOR:	COST:
Working group for assessment of emerging agricultural technologies: issues for the 1990's	$9,749

PURPOSE:
Working group on animal technology to identify the impact on American agriculture of emerging information technologies and biotechnology. Areas of focus include productivity, food safety, environmental quality, socioeconomic, and legal and ethical issues that relate to OTA's on-going assessment.

CONTRACTOR:	COST:
To Be Selected	$8,000

PURPOSE:
The Contractor will explore the public participation processes in national forest planning, the relationship to organizational structure, and the relationship to both to the internal reward system.

CONTRACTOR:	COST:
To Be Selected	$6,315

PURPOSE:
The Contractor will research and write a paper which examines how the model of cooperative agricultural extension might apply today to rural communities and their problems of economic development.

CONTRACTOR:	COST:
To Be Selected	$6,000

PURPOSE:
The Contractor will research and write a paper on regulation and technology deployment.

CONTRACTOR:	COST:
To Be Selected	$4,500

PURPOSE:
The Contractor will explore the relationship between deploying narrowband ISDN and broad band ISDN capabilities to rural areas. The Contractor will include the period of depreciation, service capabilities, etc.

CONTRACTOR:	COST:
To Be Selected	$10,000

PURPOSE:
The Contractor will assess the technical issues of "open network architecture" in the telephone system.

Question: Provide an itemized list of all FY 1989 travel expenses.

Answer:

REF NUM	NAME OF TRAVELER	TITLE	DATES OF TRAVEL	COST	DESTINATION	PURPOSE
L50001	Cancelled					
L50002	Dalbello, Rick	Senior Analyst	10/3-16	342	India	International Institute of Space Law
L50003	Law, Gordon	Senior Analyst	9/24-10/6	1,387	Geneva	Second Session of Space WARC (ORB-88)
L50004	Carson, Nancy	Program Manager	10/1-8	0 1/	Sofia	Joint Workshop of NAS and Bulgarian Academy
L50005	Cancelled					
L50006	Cancelled					
L50007	Roberts, Linda	Senior Analyst	10/1-6	224 1/	Paris	OECD seminar of educational software
L50008	Henderson, Thomas	Analyst	10/5-7	391	Kansas City	National Institute for Rural Health Policy
L50009	Kelly, Henry	Senior Associate	10/5	0 1/	Nashville	Brief state government on economic development
L50010	Hirschhorn, Joel	Senior Associate	10/7-8	0 1/	Indianapolis	Keynote address at Hoosier Environmental Congress
L50011	Blair, Peter	Program Manager	10/15-22	2,370	Moscow	United Nations Centre for Science and Tech
L50012	Hewitt, Maria	Analyst	11/13-17	443	Boston	APHA Annual Meeting
L50013	Metcalf, Kelly	Research Analyst	10/6-8	458	Chicago	AMA Adolescent Mental Health Conference
L50014	Gibbons, John	Director	10/9-21	1,735	Bonn	Joint Conference on Technology Assessment
L50015	Duffy, Brigitte	Research Analyst	10/4-6	110	New York	Contractor meeting on cervical cancer
L50016	Ellis, Gary	Senior Analyst	10/10-12	325	Atlanta	American Fertility Society meeting
L50017	Hanna, Kathi	Analyst	10/11-13	634	New Orleans	American Society of Human Genetics meeting
L50018	Hirschhorn, Joel	Senior Associate	12/4-6	0 1/	Seattle	Battelle workshop on Hazardous Waste
L50019	Dougherty, Denise	Senior Analyst	10/6-8	308	Chicago	AMA Adolescent Mental Health Conference
L50020	Niblock, Bob	Program Manager	10/9-13	0 1/	Bonn	Joint Conference on Technology Assessment
L50021	Kolsrud, Gretchen	Program Manager	10/9-22	94 1/	Bonn	Joint Conference on Technology Assessment
L50022	Giddings, Val	Analyst	10/7-29	381 1/	Bonn\England	Joint Conference on Technology Assessment
L50023	Levenson, Howard	Senior Analyst	10/8-18	257 1	Bonn	Joint Conference on Technology Assessment
L50024	Friedman, Bob	Senior Associate	10/8-22	0 1/	Bonn	Joint Conference on Technology Assessment
L50025	Jensen, Jim	Dir., Cong. Affairs	10/19-20	461 1/	Denver	Seminar at UCAR/NCAR
L50026	Ruby, Gloria	Senior Analyst	10/6-8	471	Chicago	Adolescent Health Conference
L50027	Ruby, Gloria	Senior Analyst	10/11-13	485	New York	Site visit - Adolescent Health Centers
L50028	Parham, Wally	Program Manager	10/23-26	393	Indianapolis	National Symposium on New Crops
L50029	Cook-Deegan, Bob	Senior Associate	11/11-17	344 1/	Boston/San Fran	APHA meeting
L50030	Hirschhorn, Joel	Senior Associate	10/25-26	0 1/	Boston	National Solid Waste Mgmt. meeting
L50031	Johnson, Peter	Senior Associate	10/13	146	Newark	Site visit - new book deacidification process
L50032	Weingarten, Rick	Senior Associate	10/11-13	298 1/	New Orleans	Electronics, Communications, & Computer Panel Meeting
L50033	Weingarten, Rick	Senior Associate	10/15-16	343	Raleigh	Presentation at Conference for State Govt. Stakeholders
L50034	Metcalf, Kelly	Research Analyst	10/10-12	336	New York	Site visit - Adolescent programs in NYC
L50035	Eden, Jill	Analyst	10/10-12	383	New York	Site visit - Adolescent programs in NYC
L50036	Rowe, Kirsten	Analyst	10/10-12	400	New York	Site visit - Adolescent programs in NYC
L50037	Dougherty, Denise	Senior Analyst	10/10-12	417	New York	Site visit - Adolescent programs in NYC
L50038	Dougherty, Denise	Senior Analyst	10/14	143	Boston	Meet with Chairman of Adolescent Health Panel
L50039	Wilk, Chuck	Senior Analyst	10/11-11	201	New York	Meet with officers of National Securities Clearing Corp.
L50040	Sharfman, Peter	Program Manager	10/12-13	0 1/	Pittsburg	Visit Carnegie Mellon University
L50041	Phillips, Mike	Senior Associate	10/12-14	0 1/	Kansas City	Keynote address at Positioning Ag. for the 1990's Conf.
L50042	O'Connor, Kevin	Senior Analyst	10/16-18	406	New York	Prentice Hall Law and Biotechnology Course
L50043	Rose, Lyn	Research Assistant	11/9-13	518	Milwaukee	Conference of American Water Resources Assoc.
L50044	Weingarten, Rick	Senior Associate	10/27-11/4	1,360	Chic/LA/SF/Denver	Site visit - discuss rural telecommunications
L50045	Kelly, Henry	Senior Associate	10/11-14	0 1/	Minneapolis	Present three lectures at Carlton College

1/ Fully or partially reimbursed

REF NO	NAME OF TRAVELER	TITLE	DATES OF TRAVEL	COST	DESTINATION	PURPOSE
L90046	Bess, Alison	Senior Analyst	1/13-19	1,106	San Francisco	AAAS
L90047	Durana, Patricia	Research Analyst	1/13-19	1,081	San Francisco	AAAS
L90048	Fulton, Kathleen	Analyst	11/18-20	103 1/	San Diego	Urban Education Technology Forum
L90049	Fletcher, Wendell	Senior Analyst	11/29-12/2	313	Indianapolis	ASTD National Conference
L90050	Bruno, Mary	Analyst	10/23-25	416	St. Paul	Fresh Water Foundation meeting
L90051	Oldenburg, Kirsten	Senior Analyst	12/1-2	336	Chicago	Sediment Solution Conference
L90052	Eden, Jill	Analyst	11/13/16	330	Boston	APHA Meeting
L90053	Power, Elaine	Analyst	10/26-11/3	333	Seattle	APHA Meeting
L90054	Dougherty, Denise	Senior Analyst	10/26-29	600	Seattle	APHA Meeting
L90055	Gluck, Michael	Senior Analyst	10/26-30	795	Seattle	APHA Meeting
L90056	Gluck, Michael	Senior Analyst	11/10-17	695	Boston	APHA Meeting
L90057	Dougherty, Denise	Senior Analyst	11/11-17	384	Boston	APHA Meeting
L90058	Feinberg, Anthony	Senior Analyst	10/23-30	0 1/	San Diego	Series of talks at west coast universities
L90059	Blair, Peter	Program Manager	11/11-12	632	Toronto	North American Regional Science Meeting
L90060	Kowalski, Judy	Analyst	10/17-18	272	Boston	Site visit - tour New England Crime processing plant
L90061	Hanna, Kathi	Analyst	11/1-5	226	San Francisco	National Conference on Biotechnology Ventures
L90062	Liskowsky, David	Analyst	11/8-11	492	Pittsburg	Recovery of Function after Spinal Cord Injury seminar
L90063	West, Pam	Analyst	11/14-22	1,547	SF/Boston	Meeting of APHA
L90064	Wardenburg, Blair	Research Analyst	11/14-20	407	Boston	Meeting of APHA
L90065	Carson, Nancy	Program Manager	10/19-20	0 1/	Kansas City	Technology Education Advisory Council
L90066	Chubin, Daryl	Senior Analyst	11/15-20	1,209	Amsterdam	The Study of Science & Tech in the 1990's
L90067	McCabe, Gretchen	Analyst	10/17-19	473	Oak Ridge	Low-Level Radioactive Waste Forum Meeting
L90068	McDonald, Andrew	Analyst	10/17-19	309	Oak Ridge	Low-Level Radioactive Waste Forum Meeting
L90069	Coates, Vary	Senior Analyst	10/19-19	173	New York	Conference on Crashes and Panics in Historical View
L90070	Wilk, Chuck	Senior Analyst	10/19-19	169	New York	Conference on Crashes and Panics in Historical View
L90071	Williamson, Ray	Senior Associate	10/19-20	308	Cleveland	Briefings on NASP, ACTS program
L90072	Kelly, Henry	Senior Associate	10/20-20	290	Boston	Site visit - discuss interactive video techniques
L90073	Johnson, Peter	Senior Associate	10/23-29	903	Seattle	Drug interdiction panel sponsored by AFTM
L90074	Weingarten, Rick	Senior Associate	11/25-12/4	431 1/	Tokyo	Panelist at Int'l. Conf. on Fifth Generation Computer Systems
L90075	Kelly, Henry	Senior Associate	10/17-18	0 1/	Mexico City	Deliver presentation to OAS Science Ministers
L90076	Shen, Susan	Analyst	12/19-27	391 1/	Taipei,Taiwan	Present paper at Natural Resources Management Conference
L90077	Nishimi, Robyn	Senior Analyst	10/23-31	506	San Antonio	American Academy of Occupational Medicine Conference
L90078	Cancelled					
L90079	White, Gladys	Analyst	10/27-28	116	Boston	IES at the Crossroads Conference
L90080	Feuer, Michael	Senior Analyst	10/26-29	306 1/	Seattle	Chair session at AFTAM Meeting - airline ticket only
L90081	Feuer, Michael	Senior Analyst	10/24-29	400 1/	Seattle	Chair session at AFTAM Meeting - subsistence only
L90082	Roberts, Linda	Senior Analyst	10/31-11/2	633 1/	San Francisco	Technology Assessment Advisory Committee Meeting
L90083	Page, Edith	Senior Associate	10/31-11/7	1,334	Paris	OECD for road transport deregulation
L90084	Carson, Nancy	Program Manager	10/29-11/3	1,066	San Francisco	Technology Assessment Advisory Committee Meeting
L90085	Carson, Nancy	Program Manager	10/30	116	San Francisco	Site visit - Apple Classroom of Tomorrow combined with TAAC
L90086	Wood, Fred	Senior Associate	10/23-24	400	Atlanta	Presentation to Annual Meeting - Information and Technology
L90087	O'Connor, Kevin	Senior Analyst	11/30-12/1	175	Long Island	Conference on DNA Technology and Forensic Science
L90088	McCabe, Gretchen	Analyst	10/24-31	1,185	Seattle/SLC	Site visit - state officials on low-level radioactive waste
L90089	Reistline, Earl	TAAC Member	10/31-11/2	745	San Francisco	Technology Assessment Advisory Committee Meeting
L90090	Peterson, Chase	TAAC Member	11/1-2	130	San Francisco	Technology Assessment Advisory Committee Meeting
L90091	Van der Vink, Greg	Senior Analyst	10/21-22	247	Evanston	Meeting at Dept. of Geological Sciences, NW University
L90092	Van der Vink, Greg	Senior Analyst	10/27-30	356	Urbana	Meeting at Univ. of Ill. on Scientists and Security Policy
L90093	Blechman, Denise	Senior Analyst	11/3-17	2,449	Hamburg/Vienna	Int'l. Conf. on Climate and Development in Germany
L90094	Morse, Gale	Analyst	11/29-12/2	342	Indianapolis	ASTD Conference on Technical and Skills Training
L90095	Condon, Tim	Senior Analyst	10/26-29	394	Boston	Site visit - Cambridge Neurosciences Corp.
L90096	Cancelled					

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KEY NO.	NAME OF TRAVELER	TITLE	DATES OF TRAVEL	COST	DESTINATION	PURPOSE
L50097	Ross, Joseph	TAAC Member	10/31-11/2	616	San Francisco	Technology Assessment Advisory Committee Meeting
L50098	Cancelled					
L50099	Lederberg, Joshua	TAAC Member	10/31-11/2	1,423	San Francisco	Technology Assessment Advisory Committee Meeting
L50100	Hunt, James	TAAC Member	10/31-11/2	1,283	San Francisco	Technology Assessment Advisory Committee Meeting
L50101	Ufholz, Eugenia	Cong. Affairs Off.	10/31-11/2	394	San Francisco	Technology Assessment Advisory Committee Meeting
L50102	Procter, Mary	Dir., Cong. Affairs	10/31-11/2	600	San Francisco	Technology Assessment Advisory Committee Meeting
L50103	Cancelled					
L50104	Cancelled					
L50105	Harl, Neil	TAAC Member	10/31-11/2	770	San Francisco	Technology Assessment Advisory Committee Meeting
L50106	Govan, Emilia	Senior Analyst	10/20	150	Boston	Consultation on interactive video techniques
L50107	Chubin, Daryl	Senior Analyst	10/27-28	0 1/	New York	Meeting at College of Physicians & Surgeons of Columbia
L50108	Cook-Deegan, Bob	Senior Associate	12/1-3	0 1/	Los Angeles	Federal and Int'l. Perspective on Genome Projects
L50109	Heinz, Lisa	Analyst	11/13-18	385	Orlando	Conference on Supercomputing '88
L50110	Cancelled					
L50111	Shaw, Alan	Senior Associate	10/24-25	17 1/	Albuquerque	Horizons '88 Conference
L50112	Condon, Tim	Senior Analyst	11/13-11/17	902	Toronto	Meeting of Society for Neuroscience
L50113	Ostrowsky, Julie	Analyst	10/26-29	306	Chicago	APHA meeting
L50114	Herdman, Roger	Assistant Director	10/16-21	6 1/	New York	Moderate United Hospital Fund Conference panel
L50115	Andelin, John	Assistant Director	10/14	52	Charlottesville	Meeting at University of Virginia
L50116	Behney, Clyde	Program Manager	11/8	0 1/	Philadelphia	Meeting at University of Pennsylvania about OTA
L50117	Andelin, John	Assistant Director	10/30-11/10	383	San Francisco	Technology Assessment Advisory Committee Meeting
L50118	Wagner, Kathy	Analyst	10/23	237	Greenville	The Next Step after Landfills
L50119	Levenson, Howard	Senior Analyst	11/1-1	309	Detroit	Municipal Officials Conference for Dingell
L50120	Shaw, Alan	Senior Associate	12/1-2	15	Fort McNair	National Defense University symposium
L50121	Shaw, Alan	Senior Associate	10/31-11/1	280	Boston	US/Japan R&D Management Forum
L50122	Gibbons, John	Director	10/26	143	New York	Council of Foreign Relations Meeting
L50123	Winston, Joan	Analyst	12/5-8	714	Los Angeles	Site visit - discuss copy protection technologies
L50124	Bosso, Carol	Analyst	10/29-11/12	838	Los Angeles	Conference on Computer Technology
L50125	Gibbons, John	Director	11/6-7	0 1/	Denton, TX	Keynote speaker at Conf. on Application of Accelerators
L50126	Gibbons, John	Director	10/31-11/2	326	Palo Alto	Technology Assessment Advisory Committee Meeting
L50127	Sisk, Jane	Senior Associate	11/29-12/2	0 1/	Denver	Conference on AIDS
L50128	Miike, Larry	Senior Associate	11/29-12/4	0 1/	Denver	Conference on AIDS
L50129	Johns, Lionel	Assistant Director	10/31-11/8	1,038	Bonaire	Sea-Space Symposium
L50130	Liskowsky, David	Analyst	11/13-18	274 1/	Toronto	Society for Neuroscience meeting
L50131	Weingarten, Rick	Program Manager	11/9	302	Boston	Workshop participant for Federal Information System Managers
L50132	Gorte, Julie	Senior Analyst	10/31-11/1	273	Boston	US/Japan R&D Management Forum
L50133	Westermeyer, Bill	Senior Analyst	12/1-8	491 1/	London	Conference on Antarctica
L50134	Williamson, Ray	Senior Associate	11/13-17	906	Los Angeles	Site visit - briefings on spacecraft design
L50135	Garcia, Linda	Senior Analyst	10/31-11/3	892	San Francisco	Technology Assessment Advisory Committee Meeting
L50136	Cancelled					
L50137	Law, Gordon	Senior Analyst	11/14-17	848	Los Angeles	Site visit - briefings on spacecraft design
L50138	Buyrn, Audrey	Program Manager	11/12-16	801	Monterey	Invited talk at Superconductivity Conference
L50139	Sharfman, Peter	Program Manager	11/14-17	720	Los Angeles	Site visit - briefings on spacecraft design
L50140	Callahan, Mike	Senior Analyst	11/14-17	670	Los Angeles	Site visit - briefings on spacecraft design
L50141	Dalbello, Rick	Senior Analyst	11/14-17	732	Los Angeles	Site visit - briefings on spacecraft design
L50142	Senior Management Retreat		11/28-29	1,330	Solomons Island	Senior Mgmt. Retreat for 33 staff
L50143	Operations Retreat		11/3-4	200	Baltimore	Operations Retreat for 16 staff
L50144	Andrews, Peter	Research Assistant	11/15-17	374	Raleigh-Durham	Site visit - discuss EPA animal test procedures
L50145	Miike, Larry	Senior Associate	11/12-17	560	Boston	APHA convention
L50146	Sisk, Jane	Senior Associate	11/12-17	716	Boston	APHA convention
L50147	Coates, Vary	Senior Analyst	10/27-28	294 1/	Des Moines	Meeting at Drake University on FOIA

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REF NUM	NAME OF TRAVELER	TITLE	DATES OF TRAVEL	COST	DESTINATION	PURPOSE
L50148	Page, Edith	Senior Associate	11/9	279	Indianapolis	Motor Vehicle Manufactures Assoc.
L50149	Zimmerman, Marc	Analyst	11/13-17	119	Boston	APHA convention
L50150	Kolsrud, Gretchen	Program Manager	11/15	152	Boston	APHA convention
L50151	White, Gladys	Analyst	11/15	145	Boston	APHA convention
L50152	Cancelled					
L50153	Cancelled					
L50154	Kelly, Henry	Senior Associate	11/8-9	0 1/	Milwaukee	Energy EXPO '88
L50155	Levenson, Howard	Senior Analyst	11/4	132	Boston	Conference on Household Hazardous Waste
L50156	Van der Vink, Greg	Senior Analyst	11/6-12	993	Las Vegas	Site visit - Nevada Test site
L50157	Alic, John	Senior Associate	11/7-10	357	Las Vegas	Government Microsimulation Applications Conf.
L50158	Wagner, Kathy	Analyst	11/14-16	9	Annapolis	EPA Medical Waste Meeting
L50159	Dopart, Kevin	Analyst	11/10	16	Atlantic City	Site visit - FAA Technical Center to discuss TCAS
L50160	Regan, Pris	Senior Analyst	12/1-3	0 1/	Los Angeles	Changing Technologies in the Workplace Conf.
L50161	Eyring, Greg	Senior Analyst	12/3-9	786 1/	Tokyo	Superconductivity Symposium
L50162	Bierbaum, Rosina	Senior Analyst	11/27-30	342	Santa Fe	Cong. & Scientific Forum on Global Earth Studies
L50163	Giddings, Val	Analyst	11/11-18	0 1/	San Diego	Biotech panel
L50164	Roberts, Linda	Senior Analyst	11/9-12	161 1/	San Antonio	National School Boards Assoc. Tech. Conf.
L50165	Kowalski, Judy	Analyst	11/15-21	48 1/	Phoenix	Site visit - pulp industry executives
L50166	Cancelled					
L50167	Ellis, Gary	Senior Analyst	11/14-16	687	Toronto	Meeting of Society for Neuroscience
L50168	Koch, Sue	Analyst	10/30-11/1	161	Airlie	Telecommunication Policy Research Conference
L50169	Regan, Pris	Senior Analyst	10/30-31	93	Airlie	Telecommunication Policy Research Conference
L50170	Nadel, Mark	Analyst	10/30-11/1	158	Airlie	Telecommunication Policy Research Conference
L50171	Feuer, Mike	Senior Analyst	11/13-14	0 1/	New York	Site visit - NY City Office of Occupational Education
L50172	Blair, Peter	Program Manager	2/21-23	634	San Diego	Western Regional Science Association Meetings
L50173	Wyckoff, Andy	Analyst	2/21-23	534	San Diego	Western Regional Science Association Meetings
L50174	Lubin, Nancy	Analyst	11/17-22	0 1/	Honolulu	Chair panel at American Assoc. for the Adv. of Slavic Studies
L50175	Levenson, Howard	Senior Analyst	11/18	214	Newport	American Society for Public Administration meeting
L50176	Page, Edith	Senior Associate	11/10	9	Atlantic City	Site visit - FAA Technical Center to discuss TCAS
L50177	Charo, Arthur	Senior Analyst	11/14-16	495	Los Angeles	Site visit - industry briefings on spacecraft design
L50178	Cancelled					
L50179	Anderson, Margaret	Analyst	11/13-17	323	Boston	APHA meeting
L50180	Gibbons, John	Director	11/16	86	New York	Council on Foreign Relations Meeting
L50181	Garcia, Linda	Senior Analyst	2/2-3	149	New York	Integrated Broadband Network Conference
L50182	Heinz, Lisa	Analyst	11/23-12/1	463	San Francisco	Site visit - computer labs
L50183	Weingarten, Rick	Senior Associate	12/3	0 1/	Albany	Panelist for NY State Forum for Information Resource Mgmt.
L50184	Gevrin, Laurie	Analyst	11/27-12/3	342	Boston	Materials Research Society Meeting
L50185	Ride, Sally	TAAC Member	2/27-28	762	Washington, D.C.	Technology Assessment Advisory Committee Meeting
L50186	Kelly, Henry	Senior Associate	11/29	0 1/	Atlanta	EPRI Utility Forecasting Symposium
L50187	Kelly, Henry	Senior Associate	12/12-16	112 1/	Paris	OECD
L50188	Wyckoff, Andy	Analyst	12/9-17	20 1/	Paris	OECD
L50189	Fainberg, Anthony	Senior Analyst	11/29-12/3	874	London	Verification conference
L50190	Wyckoff, Andy	Analyst	11/30-12/1	42 1/	Atlanta	OECD
L50191	Coates, Vary	Senior Analyst	11/28-29	0 1/	Denver	Western Executive Seminar
L50192	Cancelled					
L50193	Diewald, Walter	Senior Analyst	12/4-6	433	Omaha	Center for Infrastructure Research
L50194	Miike, Larry	Senior Associate	2/27-3/1	690	Bismarck	Rural Health Meeting
L50195	O'Connor, Kevin	Senior Analyst	12/4-6	69	Ithaca	Animal Patents
L50196	Maslow, Catharine	Senior Analyst	12/15-17	306	Los Angeles	Site visit - providers of services for dementia patients
L50197	Wyckoff, Andy	Analyst	11/29	78	Philadelphia	Meeting at Drexel University on Economic Transition
L50198	Cancelled					

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REF NUM	NAME OF TRAVELER	TITLE	DATES OF TRAVEL	COST	DESTINATION	PURPOSE
L50199	Alic, John	Senior Associate	11/28-30	271	Boston	OTA Senior Management Retreat
L50200	Buyrn, Audrey	Program Manager	12/15-16	807	Orange County	Mathematics Education Conference
L50201	Wolfe, Leah	Research Analyst	2/27-3/3	847	Bismarck	Rural Health Conference
L50202	Curlin, Jim	Senior Associate	12/1-3	0 1/	Los Angeles	Meeting at Stanford University on Technology Policy
L50203	Giddings, Val	Analyst	12/2-16	793	England	Address Royal Commission on Environmental Pollution
L50204	Wagner, Kathy	Analyst	12/2-2	255	Kansas City	Nat'l Summit of State Infectious Waste
L50205	Wolfe, Leah	Research Analyst	11/29-12/2	391	San Antonio	Rural Health Conference
L50206	Ellis, Gary	Senior Analyst	11/29	103	Wilmington	Site visit - DuPont laboratories and facilities
L50207	Wagner, Kathy	Analyst	12/15-16	0 1/	Milwaukee	Meeting at Univ. of WI on Infectious Waste Disposal
L50208	Law, Gordon	Senior Analyst	12/13-14	27 1/	Dayton	Site visit - Wright-Patterson AFB to discuss aerospace Plane
L50209	Cancelled					
L50210	Charo, Arthur	Senior Analyst	12/12-14	285 1/	Dayton	Site visit - Wright-Patterson AFB to discuss aerospace Plane
L50211	Callahan, Mike	Senior Analyst	12/12-14	242 1/	Dayton	Site visit - Wright-Patterson AFB to discuss aerospace Plane
L50212	Williamson, Ray	Senior Associate	12/12-14	17 1/	Dayton	Site visit - Wright-Patterson AFB to discuss aerospace Plane
L50213	Basques, Eric	Senior Analyst	12/12-14	23 1/	Dayton	Site visit - Wright-Patterson AFB to discuss aerospace Plane
L50214	Sharfman, Peter	Program Manager	12/12-14	417 1/	Dayton	Site visit - Wright-Patterson AFB to discuss aerospace Plane
L50215	Dougherty, Denise	Senior Analyst	12/11-15	800	El Paso	Adolescent Health Workshop
L50216	Rowe, Kirsten	Analyst	12/11-15	752	El Paso	Adolescent Health Workshop
L50217	Cancelled					
L50218	Cancelled					
L50219	Cancelled					
L50220	Shaw, Alan	Senior Associate	12/9	19 1/	Dayton	Site visit - discuss reorganization of Wright Aeronautical Labs
L50221	Cancelled					
L50222	Cancelled					
L50223	Hirschhorn, Joel	Senior Associate	2/20-22/89	0 1/	Cincinnati	Keynote address at Biosystems for Pollution Control Symposium
L50224	Wilk, Chuck	Senior Analyst	12/13	171	New York	Site visit - discuss financial securities with industry
L50225	Coates, Vary	Senior Analyst	12/13	142	New York	Site visit - discuss financial securities with industry
L50226	Phillips, Mike	Senior Associate	12/11-14	209 1/	Chicago	A plant biotechnology symposium
L50227	Gibbons, John	Director	12/8/88	0 1/	Trenton	Meeting at Princeton University
L50228	Szabo, Nancy	Analyst	12/14-15	236	Raleigh	Meeting of EPA's Clean Air Scientific Advisory Committee
L50229	Kelly, Henry	Senior Associate	12/9-9	136	White Plains	Board meeting of the Ctr. for Environmental Legal Studies
L50230	Alexander, Jane	Analyst	12/9-11	0 1/	Phoenix	Superconductivity conference
L50231	Feinberg, Tony	Senior Analyst	1/12-19	257 1/	San Francisco	AAS / APS / AAPT Meeting
L50232	Pearson, Willie	Analyst	1/13-18	9[illegible]9	San Francisco	1989 American Assoc. for the Adv. of Science
L50233	Gibbons, John	Director	12/9	48	Queenstown	Aspen Energy Forum for 1989
L50234	Cancelled					
L50235	Miike, Larry	Senior Associate	1/8-12	532	Phoenix	Rural Health Workshop
L50236	Henderson, Tom	Analyst	1/10-14	458	Phoenix	Rural Health Workshop
L50237	Eden, Jill	Analyst	1/8-12	324	Los Angeles	Site visit - youth centers in LA
L50238	Hewitt, Maria	Analyst	1/7-15	507	Phoenix	Rural Health Workshop
L50239	Rowe, Kirsten	Analyst	1/8-12	863	Los Angeles	Site visit - youth centers in LA
L50240	Dougherty, Denise	Senior Analyst	1/8-12	946	Los Angeles	Site visit - youth centers in LA
L50241	Roberts, Linda	Senior Analyst	1/31-2/1	0 1/	Orlando	Instructional Computing
L50242	Hirschhorn, Joel	Senior Associate	1/23-26	351	Houston	Solid & Hazardous Waste Symposium
L50243	Hanna, Kathi	Analyst	1/15-18	1,012	San Francisco	American Assoc. for the Advancement of Science
L50244	Sisk, Jane	Senior Associate	1/10-16	305 1/	Phoenix	American Health Care System Meeting
L50245	Hirschhorn, Joel	Senior Associate	3/3-7	136 1/	Philadelphia	Commercial Development Assoc. Meeting
L50246	Eyring, Greg	Senior Analyst	1/10-12	1,135	San Francisco	Int'l Superconductor Application Convention
L50247	Chubin, Daryl	Senior Analyst	1/12-18	1,015	San Francisco	AAAS
L50248	Sisk, Jane	Senior Associate	1/17-20	531 1/	San Francisco	AAAS
L50249	McCabe, Gretchen	Analyst	1/10-13	679	San Diego	Low Level Waste Forum

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REF NUM	NAME OF TRAVELER	TITLE	DATES OF TRAVEL	COST	DESTINATION	PURPOSE
L50250	Feuer, Michael	Senior Analyst	12/28-30	107	New York	American Economic Assoc. Meeting
L50250	Cancelled					
L50251	Carson, Nancy	Program Manager	1/15-19	118	San Francisco	Committee on Science, Engineering & Public Policy
L50252	Gibbons, Jack	Director	1/10-18	0 1/	San Francisco	AAAS Meeting
L50253	Page, Edith	Senior Associate	1/9	286	Tulsa	Site visit - TCAS installation
L50254	Sundt, Nick	Analyst	1/9-11	438	Atlanta	Climate Change on Electric Utilities Conference
L50255	Wilk, Chuck	Senior Analyst	1/6	198	New York	Bankers Trust & Fed. Reserve Bank of N.Y. Meeting
L50256	Blair, Peter	Program Manager	1/10-12	0 1/	Philadelphia	N.Y. St. Energy Research & Develop. Authority Program
L50257	Cancelled					
L50258	Kelly, Henry	Senior Associate	1/3-4	0 1/	Austin	Texas Higher Ed. Coord. Comm. Mtng
L50259	Kelly, Henry	Senior Associate	12/29	150	New York	N.Y. Univ. American Economics Association Conference
L50260	Epstein, Jerry	Senior Analyst	1/13-21	59 1/	San Francisco	AAAS Meeting
L50261	Chase, Arthur	Senior Analyst	1/14-20	335 1/	San Francisco	AAAS Meeting
L50262	Anderson, Margaret	Analyst	2/5-10	772	Houston	Site visit - different companies on Genetic Testing in the Workplace
L50263	Nishimi, Robyn	Senior Analyst	2/4-12	946	Houston	Site visit - different companies on Genetic Testing in the Workplace
L50264	Nishimi, Robyn	Senior Analyst	2/15-18	604	Las Vegas	American Academy of Forensic Scientists Meeting
L50265	McDonald, Jean	Dir. of Press	1/13-18	586	San Francisco	AAAS Meeting
L50266	Ufholz, Eugenia	Cong. Affairs	1/13-18	617	San Francisco	AAAS Meeting
L50267	Wood, Fred	Senior Associate	1/18-23	4 1/	Orlando	Joint Legislative Committee Hearings
L50268	Herdman, Roger	Assistant Director	2/8-12	300 1/	Scottsdale	Nat'l Council for Prescription Drug Meeting
L50269	Gwin, Holly	General Counsel	1/20-21	216 1/	Honolulu	Site visit - Army's Central Identification Laboratory
L50270	Gibbons, John	Director	1/25-26	0 1/	Spartanburg	Clemson University Meeting
L50271	Weingarten, Rick	Senior Associate	1/23-26	387	Birmingham	South Central Bell Symposium & Meeting at Georgia Tech
L50272	Gillman, Kitty	Senior Associate	1/19	140	Boston	Site visit - Technology Transfers and Financing in Japan
L50273	Gorte, Julie	Senior Analyst	1/19	167	Boston	Site visit - Technology Transfers and Financing in Japan
L50274	Weingarten, Rick	Senior Associate	2/2-3	289	New York	Markle Foundation Communications Policy Project
L50275	Kelly, Henry	Senior Associate	1/19	0 1/	Oklahoma City	Keynote address at the Education Association Meeting
L50276	O'Connor, Kevin	Senior Analyst	1/31-2/5	25 1/	Los Angeles	American Society of Ag. Economy Meeting
L50277	Johns, Lionel	Assistant Director	2/22-26	17 1/	Munich	Future Options for Internat'l Coop. in Science & Tech. Meeting
L50278	Coates, Vary	Senior Analyst	2/7	0 1/	Oakridge	The ORN Seminar on Science, Tech. and Public Policy
L50279	Wagner, Judith	Senior Associate	2/7	0 1/	Raleigh	Univ. of N.C. School of Public Hlth. Conference
L50280	Dunkerley, Joy	Senior Analyst	1/13-22	0 1/	London	The Internat'l Association of Energy Economists Meeting
L50281	McDonald, Ted	Analyst	1/29-31	301	Auburn	USAID-BIFAD Title XII Seminar
L50282	Ruby, Allen	Analyst	1/29-31	374	Auburn	USAID-BIFAD Title XII Seminar
L50283	Cancelled					
L50284	Van der Vink, Greg	Senior Analyst	1/23-28	292 1/	San Diego	IRIS - Soviet Academy of Sciences Meeting
L50285	Fulton, Kathleen	Analyst	1/26-29	35 1/	Miami	Wasatch Education Systems Seminar
L50286	Cancelled					
L50287	White, Gladys	Analyst	3/13-15	400	Dearborn	Patient Selection Criteria in Organ Transplantation Conference
L50288	Blair, Peter	Program Manager	3/20-24	923	San Francisco	Stanford Energy Modeling Forum Plenary Session Meeting
L50289	Cancelled					
L50290	Johns, Lionel	Assistant Director	2/4-11	983	Molokai, Hawaii	Sixth Pacific Rim Energy Conference
L50291	Diewald, Walter	Senior Analyst	2/5-11	1,035	San diego	Site visit - Applications of Advanced Tech. in Transportation
L50292	Page, Edith	Senior Associate	2/13	38 1/	Ft. Lauderdale	CAUSE Annual Conference
L50293	Baldwin, Samuel	Detailee from DOE.	2/7	192	Raleigh	Site visit - Semiconductor Research Corp.
L50294	Gwin, Holly	General Counsel	2/12-18	765	Santa Fe	Site visit - American Academy of Forensic Sciences
L50295	Fulton, Kathleen	Analyst	2/6-10	445 1/	Houston	Site visit - Wasatch Education System Seminar
L50296	Plotkin, Steve	Senior Associate	2/14-15	368	Knoxville	Presidents of Professional Societies Meeting
L50297	Epstein, Gerald	Senior Analyst	2/14-15	0 1/	Boston	Harvard Kennedy School Symposium
L50298	Miike, Larry	Senior Associate	3/7-10	706	San diego	Rural and Emergency Medical Systems Meeting
L50299	Henderson, Tim	Analyst	2/26-3/1	831	Bismarck	Site visit - Rural Health Conference

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REF NUM	NAME OF TRAVELER	TITLE	DATES OF TRAVEL	COST	DESTINATION	PURPOSE
L50300	Wagner, Kathryn	Analyst	2/13-16	362	Cincinnati	Medical Waste Incineration Conference
L50301	Johnson, Peter	Senior Associate	2/20-23	0 1/	Houston	Ocean Enterprise Conference
L50302	Kelly, Henry	Senior Associate	2/19-25	197 1/	Paris	New Tech., Global Competition, & Latecomer Industrial. Meeting
L50303	Wagner, Kathryn	Analyst	4/2	170	New York	Ted Weiss Community Conference
L50304	Wagner, Kathryn	Analyst	4/3-7	829	Honolulu	BFI Medical Waste Systems
L50305	Phillips, Michael	Senior Associate	2/24-3/1	428 1/	Vancouver	Grain Elevator & Processing Society Annual Meeting
L50306	Cancelled					
L50307	Roberts, Linda	Senior Analyst	2/8-9	292	Hartford	Site visit - Southern New England Telephone
L50308	Wye, David	Research Analyst	2/8-10	285	Hartford	Site visit - Southern New England Telephone
L50309	Hewitt, Maria	Analyst	3/7-10	750	San Diego	Rural Health Meeting
L50310	Earl, Neil	TAAC Member	2/27-28	368	Washington, D.C.	Technology Assessment Advisory Council Meeting
L50311	Cancelled					
L50312	Potter, Dave	TAAC Member	2/27-28	649	Washington, D.C.	Technology Assessment Advisory Council Meeting
L50313	Beistline, Earl	TAAC Member	2/27-28	1,098	Washington, D.C.	Technology Assessment Advisory Council Meeting
L50314	Roberts, Linda	Senior Analyst	2/16-18	34 1/	Seattle	Northwest Council for Computers in Ed.
L50315	Cancelled					
L50316	Lederberg, Joshua	TAAC Member	2/27-28	344	Washington, D.C.	Technology Assessment Advisory Council Meeting
L50317	Peterson, Chase	TAAC Member	2/27-28	312	Washington, D.C.	Technology Assessment Advisory Council Meeting
L50318	Perry, William	TAAC Member	2/27-28	387	Washington, D.C.	Technology Assessment Advisory Council Meeting
L50319	Condon, Tim	Senior Analyst	2/23	334	Nashville	Site visit - Vanderbilt University on Neural Grafts Study
L50320	Cancelled					
L50321	White, Gladys	Analyst	2/23	340	Nashville	Site visit - Vanderbilt University on Neural Grafts Study
L50322	Cancelled					
L50323	Anderson, Patricia	Contractor	2/23	307	Nashville	Site visit - Vanderbilt University on Neural Grafts Study
L50324	Ellis, Gerry	Senior Analyst	2/23	329	Nashville	Site visit - Vanderbilt University on Neural Grafts Study
L50325	O'Connor, Kevin	Senior Analyst	2/23	336	Nashville	Site visit - Vanderbilt University on Neural Grafts Study
L50326	Liskowsky, Dave	Analyst	2/23-3/5	333 1/	Tampa	Site visit - Vanderbilt University on Neural Grafts Study
L50327	McCabe, Gretchen	Analyst	2/25-3/7	1,136	Salt Lake	LLW Disposal Facilities Conference
L50328	Barnard, Bill	Senior Analyst	3/5-7	457	Salt Lake	LLW Disposal Facilities Conference
L50329	Roberts, Linda	Senior Analyst	2/26-27	0 1/	Albany	Keynote address at NY State Education Dept.
L50330	Williamson, Ray	Senior Associate	2/23	0 1/	Pittsburgh	Carnegie Mellon Univ. Panel
L50331	Condon, Tim	Senior Analyst	2/26-3/3	747	Tampa	Site visit - S. Florida Neural Transplant Center
L50332	Hirschhorn, Joel	Senior Associate	3/13-15	0 1/	Chicago	Keynote address at HAZMAT Central '89 Conference
L50333	Johnson, Peter	Senior Associate	3/17-22	790	The Hague	Int'l Conf. on Offshore Mech. and Arctic Engin.
L50334	Ellis, Gary	Senior Analyst	3/10	181 1/	Boston	Admin., Educ., and Animal Care Conference
L50335	Feuer, Michael	Senior Analyst	2/24-26	38 1/	Fort Worth	WASATCH Educ. System Conference
L50336	Wood, Fred	Senior Associate	2/21-23	140	New Jersey	NJ State Library's Planning Conference
L50337	Gorte, Julie	Senior Analyst	3/9-26	4,732	Tokyo	Site visit - Japanese public and priv. finan. orgs.
L50338	Basques, Eric	Senior Analyst	2/16	40 1/	Aberdeen	Site visit - briefing on Chemical Weapons Tech.
L50339	Sharfman, Peter	Program Manager	2/16	40 1/	Aberdeen	Site visit - briefing on Chemical Weapons Tech.
L50340	Waychoff, Chris	Analyst	2/16	40 1/	Aberdeen	Site visit - briefing on Chemical Weapons Tech.
L50341	Hirschhorn, Joel	Senior Associate	3/31-4/7	1,739	Singapore	FY '89 Pacific Basin Conference on Haz. Waste
L50342	Coates, Vary	Senior Analyst	2/21-22	0 1/	Denver	Executive Seminar by OPM
L50343	Callahan, Michael	Senior Analyst	2/16	40 1/	Aberdeen	Site visit - Chemical Weapons Tech.
L50344	Murphy, Christine	Analyst - Fellow	3/28-29	172	Washington, D.C.	Fellow Finalist Meeting
L50345	Schaefer, Mark	Analyst	2/26-3/1	387	Atlanta	Conference of Society of Toxicology
L50346	Gibbons, John	Director	3/1	110	New York	Conference at Scientific American Office
L50347	Roberts, Linda	Senior Analyst	3/1-3	324	Des Moines	Review of Iowa's Plans for Statewide Telecomm.
L50348	Fulton, Kathleen	Analyst	3/1-3	182	Des Moines	Review of Iowa's Plans for Statewide Telecomm.
L50349	Lubin, Nancy	Analyst	2/23	0 1/	Pittsburgh	Space Issues at Carnegie Mellon Univ.
L50350	Weingarten, Rick	Senior Associate	3/12-14	467	New York	Conference on Science Networking

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REF NUM	NAME OF TRAVELER	TITLE	DATES OF TRAVEL	COST	DESTINATION	PURPOSE
L50351	Heinz, Lisa	Analyst	3/6-7	279	Ohio	Conference on State-Funded Supercomputer Centers
L50352	Chubin, Daryl	Senior Analyst	3/3-5	0 1/	Ithaca	Meeting at Cornell Univ. Sci., Tech., and Soc.
L50353	Herdman, Roger	Assistant Director	4/5-9	174	New York	Regulation of Gene Expression Conference
L50354	Cancelled					
L50355	Kelly, Henry	Senior Associate	3/5-8	3 1/	Calgary	Conference with Alberta Dept. of Agricul.
L50356	Roy, Robin	Analyst	3/7-11	907	Denver	Keystone Energy Futures Project Conference
L50357	Stevens, Rosemary	Consultant	2/27-28	182	Washington, D.C.	The Technology Assessment Advisory Committee Meeting
L50358	Cancelled					
L50359	Roberts, Linda	Senior Analyst	3/31	263	Chicago	Site visit - Officials of Bellcore
L50360	Wye, David	Research Analyst	3/31	264	Chicago	Site visit - Officials of Bellcore
L50361	Cancelled					
L50362	Blair, Peter	Program Manager	3/4	301	New York	IEEE Conference of Science and Tech. Issues
L50363	Snell, Randolph	Analyst	3/8	0 1/	Boston	Conference on oppor. for U.S./Japan scien. collabor.
L50364	Fulton, Kathleen	Analyst	3/8-10	418	Mansfield	Site visit to Mansfield U. to deter. distance educ. opportun.
L50365	Page, Edith	Senior Associate	3/12-14	302	Orlando	Keynote address at annual mtg. of Interstate Truckload Carriers
L50366	Hirschhorn, Joel	Senior Associate	4/10-11	20	Baltimore	Environ. Quality & Indust. Competitiveness Conf.
L50367	Spear, Steven	Research Analyst	3/14-18	215	New York	Trading Technology Conference
L50368	Ribot, Jesse	Analyst - Fellow	3/28-29	742	Washington, D.C.	Fellow finalist
L50369	Heber, Lynne	Analyst - Fellow	3/28-29	281	Washington, D.C.	Fellow finalist
L50370	Jones, Katherine	Analyst - Fellow	3/28-29	4	Washington, D.C.	Fellow finalist
L50371	Gaster, Robin	Analyst - Fellow	3/28-29	0	Washington, D.C.	Fellow finalist
L50372	Hatziandreu, Evridiki	Analyst - Fellow	3/28-29	0	Washington, D.C.	Fellow finalist
L50373	King, Andrew	Analyst - Fellow	3/28-29	185	Washington, D.C.	Fellow finalist
L50374	Komor, Paul	Analyst - Fellow	3/28-29	280	Washington, D.C.	Fellow finalist
L50375	Cancelled					
L50376	Melcher, Joye	Analyst - Fellow	3/28-29	254	Washington, D.C.	Fellow finalist
L50377	Nishiguchi, Toshiro	Analyst - Fellow	3/28-29	362	Washington, D.C.	Fellow finalist
L50378	Lee, David	Analyst - Fellow	3/28-29	329	Washington, D.C.	Fellow finalist
L50379	Quander, Linda	Analyst - Fellow	3/28-29	342	Washington, D.C.	Fellow finalist
L50380	Cancelled					
L50381	Schaefer, Mark	Analyst	3/7	19	Baltimore	Site visit - NIDA's Addiction Research Center
L50382	Andrews, Peter	Research Assistant	3/7	19	Baltimore	Site visit - NIDA's Addiction Research Center
L50383	Westermeyer, William	Senior Analyst	3/30-4/4	726	London	The International Studies Association
L50384	Heinz, Lisa	Analyst	3/17	132	Princeton	Site visit - John Von Neumann National Supercomputer Center
L50385	Miller, Liz	Research Assistant	3/16-19	96	Princeton	Site visit - John Von Neumann National Supercomputer Center
L50386	Weingarten, Rick	Senior Associate	3/17	153	Philadelphia	Site visit - John Von Neumann National Supercomputer Center
L50387	O'Connor, Kevin	Senior Analyst	4/5	132	Valhalla	Site visit - Lifecodes, Inc.
L50388	Kolsrud, Gretchen	Program Manager	4/5	141	Valhalla	Site visit - Lifecodes, Inc.
L50389	Nishimi, Robyn	Senior Analyst	4/5	142	Valhalla	Site visit - Lifecodes, Inc.
L50390	Anderson, Margaret	Analyst	4/5	120	Valhalla	Site visit - Lifecodes, Inc.
L50391	Gwin, Holly	General Counsel	4/5	110	Valhalla	Site visit - Lifecodes, Inc.
L50392	Heinz, Lisa	Analyst	3/14-15	90	Annapolis	The FRICC Retreat
L50393	Power, Elaine	Analyst	4/29-5/3	570	Reno	The National Rural Health Association Annual Meeting
L50394	Wagner, Kathryn	Analyst	3/21	211	Islip, NY	The Floatable Wastes in the Ocean Conference
L50395	Miike, Larry	Senior Associate	3/21	0 1/	New York	Forum on Screening for Genetic Diseases
L50396	Buyrn, Audrey	Program Manager	3/19-20	340	Boston	Site visit - Merging Acquisitions with Polaroid Corporation
L50397	Phillips, Michael	Senior Associate	3/29-31	0 1/	San Francisco	The Bio-Research for Today and Tomorrow Seminar
L50398	Phillips, Michael	Senior Associate	3/21-22	500	Huron, S.D.	Field Hearing on Grain Quality
L50399	Milford, Jana	Analyst	3/21	162	Raleigh	Findings from OTA's Ozone Study
L50400	Friedman, Bob	Senior Associate	3/21	193	Raleigh	Findings from OTA's Ozone Study
L50401	Wyckoff, Andrew	Analyst	3/31-4/3	93 1/	Dillon, MT	The Info-Tech Conference

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REF NUM	NAME OF TRAVELER	TITLE	DATES OF TRAVEL	COST	DESTINATION	PURPOSE
L50402	Page, Edith	Senior Associate	4/11-13	403	Detroit	The ATA's Tomorrow's Truck Symposium
L50403	Page, Edith	Senior Associate	3/21-22	220	Boston	Trans. Trucking & Telecommunication Conference
L50404	Gray, Daryl	Contractor	3/23-24	186	Washington, D.C.	Brief Health Program on Artificial Heart
L50405	Hirschhorn, Joel	Senior Associate	5/4-6	0 1/	Gatlinburg	Cleaning Up Hazardous Waste Sites
L50406	Gordon, Valery	Contractor	3/23	39	Washington, D.C.	Brief Health Program on Artificial Heart
L50407	Fletcher, Wendell	Senior Analyst	3/31	272	Chicago	Site visit - Bellcore's Training and Education Center
L50408	Hirschhorn, Joel	Senior Associate	5/1	0 1/	Boston	Site visit - Pollution Prevention Institute
L50409	Dunkerley, Joy	Senior Analyst	4/2-6	831	Guatemala City	Bioconnected Sector Conference
L50410	Wye, David	Research Analyst	4/12-14	334	Springfield	Northeast Distance Learning Conference
L50411	Wilk, Chuck	Senior Analyst	3/27	125	New York	Meet with Contractors
L50412	Coates, Vary	Senior Analyst	3/27	0 1/	New York	Meet with Contractors
L50413	Cancelled					
L50414	Regan, Priscilla	Senior Analyst	4/13-14	407	Ottawa	Information Technology and Privacy Conference
L50415	Van der Vink, Greg	Senior Analyst	3/28-30	621	Golden	Site visit - Rocky Flats Plant
L50416	Feinberg, Anthony	Senior Analyst	3/28-30	430	Golden	Site visit - Rocky Flats Plant
L50417	Van der Vink, Greg	Senior Analyst	4/13-18	1,074	Las Vegas	Site visit - Dept. of Energy Operations Office
L50418	Sisk, Jane	Senior Associate	4/17-20	0 1/	Columbus	Pharmaceutical Policy Conference
L50419	Feinberg, Anthony	Senior Analyst	4/5	247	Cincinnati	Site visit - FEED Material Production Center
L50420	Johnson, Peter	Senior Associate	4/5	254	Cincinnati	Site visit - FEED Material Production Center
L50421	Van der Vink, Greg	Senior Analyst	5/1-3	56	Baltimore	The American Physical Society Meeting
L50422	Williamson, Ray	Senior Associate	4/3-8	302	Colorado Springs	The Society for American Archaeology Meeting
L50423	Coates, Vary	Senior Analyst	4/1	69	Philadelphia	Financial Securities Project
L50424	Wilk, Chuck	Senior Analyst	4/1	72	Philadelphia	Financial Securities Project
L50425	Chin, Ritchie	Analyst	3/1	109	San Jose	Site visit - Rural Telecommunications Project
L50426	Spear, Steven	Research Analyst	4/6-9	44	Palo Alto	Site visit - Financial Securities Project
L50427	Diewald, Walter	Senior Analyst	4/6	260	Pittsburgh	Construction Industry Inst. Advanced Tech. Systems Meeting
L50428	Henderson, Tim	Analyst	4/24	50	Charlottesville	University of VA School of Nursing on Rural Health
L50429	Cancelled					
L50430	White, Gladys	Analyst	4/24-5/3	1,329	Salt Lake City	Site visit - Rural Health Providers
L50431	Cancelled					
L50432	Weyehoff, Chris	Analyst	5/18-21	368	Boston	The Social & Political Implications of Science & Tech. Conf.
L50433	Weyehoff, Chris	Analyst	3/23-27	239	Norfolk	The Soviet Military Doctrine Conference
L50434	Roberts, Linda	Senior Analyst	4/10-11	0 1/	New York	The Bank Street College Meeting
L50435	Wye, David	Research Analyst	4/9-10	181	Norfolk	Site visit - WHRO-TV
L50436	Wagner, Kathryn	Analyst	4/12-13	216	Albany	Medical Waste Policy Conference
L50437	Fletcher, Wendell	Senior Analyst	4/12	298	Boston	Brief Panel on Training in the Workplace
L50438	Morse, Gale	Analyst	4/12	350	Boston	Brief Panel on Training in the Workplace
L50439	Cancelled					
L50440	McCabe, Gretchen	Analyst	4/16-18	0 1/	Las Vegas	Low-Level Radioactive Waste Mgmt Conference
L50441	Buyrn, Audrey	Program Manager	4/11-12	317	Boston	Brief Panel on Training in the Workplace
L50442	McCabe, Gretchen	Analyst	5/1-2	333	Knoxville	The 1989 Incineration Conference
L50443	Alexander, Jane	Analyst	4/11	0 1/	New York	The IEEE Electro Conference
L50444	Weingarten, Rick	Senior Associate	5/1	620	San Francisco	The Supercomputing Conference
L50445	Charo, Arthur	Senior Analyst	4/11-13	332	Dallas	American Chemical Society Meeting
L50446	Harn, Joan	Analyst	5/2	142	New York	The 1989 ASTEC Mgmt Forum
L50447	Diewald, Walter	Analyst	4/24-25	384	Champaign	Site visit - Corps of Engineers
L50448	Page, Edith	Senior Associate	4/24-25	346	Champaign	Site visit - Corps of Engineers
L50449	Levy, Patricia	Contractor	5/7-9	284	Washington, D.C.	Brief OTA staff on Drug Studies
L50450	Wagner, Kathryn	Analyst	5/2-3	337	Knoxville	1989 Incineration Conference
L50451	Crane, Alan	Senior Associate	4/14	103	Trenton	Keynote address on Energy policy at Rutgers Univ.
L50452	Blair, Peter	Program Manager	6/6-7	295	Pittsburgh	EEI System Planning Comm. conference

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REF NUM	NAME OF TRAVELER	TITLE	DATES OF TRAVEL	COST	DESTINATION	PURPOSE
L50453	Weingarten, Rick	Senior Associate	4/18-19	312	Philadelphia	Site visit - Courant Institute, NYU, and Univ. of Penn.
L50454	Gorte, Julie	Senior Analyst	4/18-19	176	Boston	Site visit - Kinefac Corporation
L50455	Gillman, Kitty	Senior Associate	4/18-19	274	Boston	Site visit - Kinefac Corporation
L50456	West, Pam	Analyst	5/3-5	651	Orlando	The Alzheimers and Nursing Home Care Conference
L50457	Carson, Nancy	Program Manager	4/18-23	17 1/	Madrid	International Conference
L50458	Buyrn, Audrey	Program Manager	4/17-19	411	Boston	Site visit - Howard Geis (small mach. tool manufacturer)
L50459	Miller, Liz	Research Assistant	4/19	79	Philadelphia	Site visit - Dave Farber, Univ. of Penn.
L50460	Cancelled					
L50461	Coates, Vary	Senior Analyst	5/12	228	White Plains	Site visit - NYNEX Labs
L50462	Curlin, James	Program Manager	5/31-6/1	162	New York	1989 HDTV Conference
L50463	Cancelled					
L50464	Chabin, Daryl	Senior Analyst	4/30-5/1	314	Kansas City	Testify before Subcommittee on Postsecondary Education
L50465	Morse, Gale	Analyst	4/24-26	501 1/	Detroit	Site visit - Representatives of American Motor Co. and UAW
L50466	Fletcher, Wendell	Senior Analyst	4/25-27	507	Detroit	Site visit - Representatives of American Motor Co. and UAW
L50467	Williamson, Ray	Senior Associate	4/25-26	254	Coca Beach	Conference at NASA Kennedy Space Center
L50468	Condon, Tim	Senior Analyst	4/24-27	119	Denver	Conference at Univ. of Colorado
L50469	Kelly, Henry	Senior Associate	4/23-25	0 1/	San Francisco	Reviewing App. Sci. Div. at Lawrence Berk. Lab.
L50470	Speer, Steven	Research Analyst	4/19-21	117	New York	Site visit - Securities Industry Association
L50471	Hirschhorn, Joel	Senior Associate	5/19-20	0 1/	Warrenton	Annual Conf. on the Environment
L50472	Tobin, Sam	Contractor	4/28-5/3	702	Washington, D.C.	Contractor meeting on Prescription Drug study
L50473	Feuer, Michael	Senior Analyst	4/18-19	0	Philadelphia	Meeting at Drexel Univ.
L50474	Williamson, Ray	Senior Associate	5/4	561 1/	Pittsburgh	Eval. of project at Carnegie Mellon Univ.
L50475	Gibbons, John	Director	5/16-17	0 1/	Boston	1st Int'l Symposium on Integ. Net. Mgmt.
L50476	Herdman, Roger	Assistant Director	4/17-23	652	Berkeley	Conference on Adolescent Health
L50477	Nishimi, Robyn	Senior Analyst	4/28-30	498	Boston	Conference on Science and Journalism
L50478	Shaw, Alan	Program Manager	5/2-6	743	London	Conference on NATO
L50479	Atkin, Jonathan	Analyst	4/11	57	Los Angeles	Site visit - Calif. State Dept. of Trans.
L50480	Craw, Lola	Personnel Spec.	5/14-18	728	New Orleans	Site visit - National Finance Center
L50481	McGarry, Bert	Ops Manager	5/8-9	472	New Orleans	Site visit - National Finance Center
L50482	Craw, Lola	Personnel Spec.	5/8-9	370 1/	New Orleans	Site visit - National Finance Center
L50483	Singleton, Catherine	Manager, Ops. Serv.	5/14-18	743 1/	New Orleans	Site visit - National Finance Center
L50484	Singelton, Catherine	Manager, Ops. Serv.	5/8-9	434 1/	New Orleans	Site visit - National Finance Center
L50485	Cancelled					
L50486	Shaw, Alan	Program Manager	5/12-13	0 1/	Salt Lake	Site visit - Univ. of Utah on Cold Fusion experiments
L50487	Hirschhorn, Joel	Senior Associate	5/23-24	0 1/	Charlotte	Conference with staff of Ciba-Geigy
L50488	Weingarten, Rick	Senior Associate	5/10-12	178	Providence	Association of Research Libraries Conf.
L50489	Morse, Gale	Analyst	5/3-5	449 1/	Cincinnati	Meetings on technology use and training
L50490	Fletcher, Wendell	Senior Analyst	5/3-5	443	Cincinnati	Meetings on technology use and training
L50491	Cancelled					
L50492	Dougherty, Denise	Senior Analyst	4/5	113	Trenton	Site visit - Youth based clinic
L50493	Page, Edith	Senior Associate	5/2	39	Lancaster	Keynote address at Annual Mtg. of Penn. Motor Truck Assoc.
L50494	Phillips, Mike	Senior Associate	5/7-12	203 1/		Evaluation of the Dept. of Ag. Econ. at TX A&M
L50495	Johns, Skip	Assistant Director	5/10-12	434	Phoenix	Phoenix Futures Forum
L50496	Feuer, Michael	Senior Analyst	5/4-5	0 1/	Princeton	Bell Atlantic Consumer Affairs conference
L50497	Feuer, Michael	Senior Analyst	5/10-12	0 1/	Madison	Univ. of Wis. symp. on Market Failure in Train.
L50498	Buyrn, Audrey	Program Manager	5/10-12	630	Austin	Site visit - Sematech facilities
L50499	Baldwin, Sam	Senior Analyst	5/9-12	713	Austin	Site visit - Sematech facilities
L50500	Baldwin, Steve	Detailee from DOL	5/10-12	401	Madison	Conference on "Expanded Role in Job Training"
L50501	Cancelled					
L50502	O'Connor, Kevin	Senior Analyst	5/14-21	911	London	Blenheim Online Biotech '89 Conf.
L50503	Gelband, Hellen	Senior Associate	5/11-12	539	San Francisco	Site visit with Robert McDonough for Drug Labelling project

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REF NUM	NAME OF TRAVELER	TITLE	DATES OF TRAVEL	COST	DESTINATION	PURPOSE
L50504	Kelly, Henry	Senior Associate	3/14-18	0 1/	Zurich	Int'l Ene. Agency's "Build. of the 21st Century"
L50505	Metcalf, Kelly	Research Analyst	3/13-19	494	Oakland	Site visit and OTA Adolescent Health Panel Meeting
L50506	Ruby, Gloria	Senior Analyst	3/14-20	931	Berkeley	Site visit and OTA Adolescent Health Panel Meeting
L50507	Rowe, Kirsten	Analyst	3/15-19	966	Oakland	Site visit and OTA Adolescent Health Panel Meeting
L50508	Plotkin, Steve	Senior Associate	3/10-13	675	San Francisco	Site visit with California Energy Commission
L50509	Wagner, Kathy	Analyst	3/11	165	New York	Conf. on the State of Coastal and Ocean Resources
L50510	Page, Edith	Senior Associate	3/21-22	0 1/	Nashville	Vanderbilt Engin. Center for Trans.
L50511	Cancelled					
L50512	Weingarten, Rick	Senior Associate	3/18-20	18 1/	Chicago	John Marshall Law School
L50513	Cancelled					
L50514	Grey, Daryl	Contractor	3/10-12	186	Washington, D.C.	Contractor meeting
L50515	Van der Vink, Greg	Senior Analyst	3/26-29	0 1/	Boston	Meeting at Dept. of Air Force Geophysics Lab.
L50516	Cancelled					
L50517	Cancelled					
L50518	Wilk, Charles	Senior Analyst	3/13	130	New York	Site visit with contractor on Clearing and Settlement Proced.
L50519	Parham, Walter	Program Manager	3/17-20	465	Denver	Conference on use of zeolite in agric. and waste disp.
L50520	Cancelled					
L50521	Cancelled					
L50522	Dougherty, Denise	Senior Analyst	3/24-25	0 1/	Atlanta	Site visit - Center for Disease Control for Adolescent Hlth.
L50523	Heinz, Lisa	Analyst	3/22-24	407	Pittsburgh	Conference on Super-Performance Computing Service
L50524	O'Connor, Kevin	Senior Analyst	3/14-16,29-31	355	Orlando	Site visit with Metro-Dade Crime Lab.
L50525	Phillips, Mike	Senior Associate	3/22-24	436	Ames	Conference on "Biotech. and Sustainable Agriculture"
L50526	Cancelled					
L50527	Snell, Randolph	Analyst	3/30-4/2	492	Boston	Conference on collaboration in biotechnology
L50528	Dougherty, Denise	Senior Analyst	3/17-20	743	Berkeley	Adolescent Health
L50529	Hirschhorn, Joel	Senior Associate	4/2-10	165	New York	Site visit with Keystone Group on Hazardous Waste study
L50530	Van der Vink, Greg	Senior Analyst	3/21-29	0 1/	San Diego	Site visit with Air Force Geophysics Laboratory
L50531	Kelly, Henry	Senior Associate	3/25	0 1/	Chicago	Gave Keynote address to U.S. DOE Nat'l Training Conf.
L50532	Kelly, Henry	Senior Associate	3/28-4/2	178 1/	Stockholm	Electricity Congress
L50533	Weingarten, Fred	Senior Associate	4/3-10	1,337	Paris	OECD mtg. on Econ. Implications of Info. Tech.
L50534	Dexter, Martha	Manager, Info Ctr	4/11-14	519	New York	Conference of Special Libraries Association
L50535	Kouril, Gail	Assist. Mgr., Info	4/24-27	695	Dallas	Conference of American Library Association
L50536	Karas, Tom	Senior Associate	4/3-9	729	London	Conference by Int'l Inst. for Strategic Studies
L50537	Feuer, Mike	Senior Analyst	3/30-31	177	New York	Site visit at Queens College and Yale
L50538	Carson, Nancy	Program Manager	3/30	119	New York	Site visit at Queens College
L50539	Fulton, Kathleen	Analyst	3/23	38	Hagerstown	Instructional Tech. Advisory Committee
L50540	Sisk, Jane	Senior Associate	3/30-4/14	1,362 1/	London	Conference with Int'l Soc. for TA in Hlth. Care
L50541	Levenson, Howard	Senior Analyst	4/5-7	358 1/	Washington	"Achieving Waste Reduction", Wash. Dept. of Ecol.
L50542	Roy, Robin	Analyst	3/24	108	Washington, D.C.	Report release
L50543	Diewald, Walter	Senior Analyst	4/6-8	341	Ann Arbor	Conference on Municipal Wastewater Treatment Tech.
L50544	Plotkin, Steve	Senior Associate	3/30-4/2	0 1/	Los Angeles	Nat'l Academy of [illegible]
L50545	Henderson, Tim	Analyst	4/14-15	411	Meridian	Rural Health conference
L50546	Henderson, Tim	Analyst	4/27-29	0 1/	Portland	Conference on Hospital Based Progs. for Rural Health
L50547	Coates, Vary	Senior Analyst	4/23-28	912	Montreal	Conference at the 9th IAIA meeting
L50548	Curlin, James	Program Manager	4/23-27	710	Montreal	Conference at the 9th IAIA meeting
L50549	Roy, Robin	Analyst	4/11-16	863	San Francisco	EPA's "Global Climate Change"
L50550	Dunkerley, Joy	Senior Analyst	4/8-11	643	Berkeley	Conference on Energy Scenarios for Developing Countries
L50551	Phillips, Mike	Senior Associate	4/3	0 1/	New Orleans	Conference on Grain Quality
L50552	Power, Elaine	Analyst	4/8-10	318	Los Angeles	Conference on technology dependent children
L50553	Power, Elaine	Analyst	4/14-16	396	Meridian	Rural Health project
L50554	Lubin, Nancy	Analyst	4/3-10	619 1/	Berlin	Site visit for climate change study

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REF NUM	NAME OF TRAVELER	TITLE	DATES OF TRAVEL	COST	DESTINATION	PURPOSE
L50555	McCabe, Gretchen	Analyst	6/7-8	301	Charleston	Low-level waste decision makers forum
L50556	Feuer, Mike	Senior Analyst	6/6-7	378	New York	Site visit at Harvard and CUNY
L50557	Carson, Nancy	Program Manager	6/6-7	353	New York	Site visit at Harvard and CUNY
L50558	Feuer, Mike	Senior Analyst	6/11-13	324	Boulder	Conference on Educational Assessment
L50559	Cancelled					
L50560	White, Gladys	Analyst	6/9-11	0 1/	Orlando	Conference on uses of human tissue
L50561	Gutta, Joan	Research Assistant	6/8-10	368	New York	Site visit with UNISYS and Union Carbide
L50562	Cancelled					
L50563	Cancelled					
L50564	Nishimi, Robyn	Senior Analyst	6/13-14	224	Norfolk	Site visit with Virginia State DNA Crime Lab.
L50565	Anderson, Margaret	Analyst	6/13-14	118	Norfolk	Site visit with Virginia State DNA Crime Lab.
L50566	Kowalski, Judy	Analyst	6/9	97	Philadelphia	Conference on the CWPA Waste Processing Facility
L50567	Westermeyer, Bill	Senior Analyst	6/14-15	490	Houston	Site visit with experts in oil spill cleanup at Exxon
L50568	Cancelled					
L50569	Bierbaum, Rosina	Senior Analyst	6/8-13	130 1/	London	Conference on global warming
L50570	Wagner, Kathryn	Analyst	6/11-13	319	Denver	Conf. with State Legis. Managing Solid Waste
L50571	Johnson, Peter	Senior Associate	6/14-15	335	Houston	Site visit with experts in oil spill cleanup at Exxon
L50572	Nishimi, Robyn	Senior Analyst	6/7-8	19	Boston	Contractor meeting on Forensic uses of DNA tests
L50573	Wood, Fred	Senior Associate	6/21-23	36	Easton	Conference on Federal Electronic records mgmt.
L50574	Gibbons, John	Director	7/5-9	667 1/	Aspen	Aspen Institute 1989 Policy Issue conference
L50575	Gelband, Hellen	Senior Associate	6/2-4	275 1/	London	Conf. of Int'l Soc. of Tech. Assess. in Hth. Care
L50576	Roberts, Linda	Senior Analyst	6/13	0 1/	New York	Conference on NY state Computer Equity project
L50577	Walsh, Marie	Analyst	6/23-28	313	Ithaca	Site visit - discussion on 1990 Farm Bill
L50578	Milford, Jana	Analyst	6/16-23	316	Denver	Conference on atmospheric chemistry
L50579	Seder, Joanne	Analyst	6/15	74	Princeton	Site visit with North American Electric Reliability Council
L50580	Cancelled					
L50581	Crane, Alan	Senior Associate	6/15	86	Princeton	Site visit with North American Electric Reliability Council
L50582	Gibbons, John	Director	6/21-22	294	Knoxville	Site visit with Oakridge officials on environ. issues
L50583	Diewald, Walter	Senior Analyst	6/21-28	822	Isle of Man	Panelist at NATO Urban Water Resources Adv. Research conf.
L50584	Snell, Randolph	Analyst	7/21-8/13	3,134	Tokyo	Site visit with Japanese officials on Jap. biotechnology strat.
L50585	Crane, Alan	Senior Associate	6/19-7/3	0 1/	Paris	Conference on technology assessment
L50586	Baldwin, Sam	Senior Analyst	6/25-29	713	Caracas	Conference on energy conservation
L50587	Fletcher, Wendell	Senior Analyst	6/26-27	337	Nashville	Site visit with Plumley Industries
L50588	Cancelled					
L50589	Garcia, Linda	Senior Analyst	6/27-28	0 1/	Seattle	Conference with West. Conf. of Public Serv. Comm.
L50590	Johnson, Peter	Senior Associate	6/26-29	883	Atlanta	Site visit with officials at Savannah River plant
L50591	Levenson, Howard	Senior Analyst	6/23-28	423	Los Angeles	82nd mtg. of Air and Waste Mgmt. Assoc.
L50592	Roberts, Linda	Senior Analyst	6/21-22	38	Boston	NECC Annual Computer Education conference
L50593	Wagner, Kathy	Analyst	6/22-23	258	Chicago	Comm. on Healthcare Safety
L50594	Singleton, Catherine	Manager, Ops Serv	7/22-28	1,444	Los Angeles	Annual Information Center conference
L50595	Johns, Lionel	Assistant Director	6/22-25	121	Miami	Site visit to evaluate methods to encourage innovation
L50596	Dunkerley, Joy	Senior Analyst	6/24-7/4	1,332	Caracas	Int'l Assoc. for Energy Econ. conference
L50597	Bierbaum, Rosina	Senior Analyst	6/20-25	389	Boulder	Conference on Atmospheric Chemistry
L50598	Garcia, Linda	Senior Analyst	6/23-24	0 1/	Vancouver	Conf. of LITA Tech. and Access Comm.
L50599	Wagner, Kathryn	Analyst	8/30-9/3	785	Atlanta	American Pol. Sci. Assoc. mtg.
L50600	Morse, Gale	Analyst	6/25-27	487	Pittsburgh	Site visit to learn about technologies used in training
L50601	Baldwin, Steve	Detailee from DOL	6/25-27	485	Pittsburgh	Site visit to learn about technologies used in training
L50602	Gibbons, John	Director	7/13-14	0 1/	Hilton Head	Conference of Southern Growth Policies Board
L50603	Chlodzinski, Paula	Research Assistant	6/24-26	139	New Jersey	Conference on drug R&D and marketing
L50604	Blair, Peter	Program Manager	8/6-10	104 1/	Vail	GRI Annual Energy conference
L50605	Williamson, Ray	Senior Associate	7/9-12	0 1/	Seattle	Conference by N.A.S. Space Studies Board

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REF NUM	NAME OF TRAVELER	TITLE	DATES OF TRAVEL	COST	DESTINATION	PURPOSE
L30606	McLaughlin, Margaret	Analyst	7/3-6	886	Menlo Park	Conference on Biotechnology in a Global Economy
L30607	Heinz, Lisa	Analyst	7/3-16	719	San Diego	Networking and Supercomputers workshop
L30608	Fletcher, Wendell	Senior Analyst	7/2-6	342	Hartford	Site visit to AETNA Institute for corporate education
L30609	Weingarten, Rick	Senior Associate	7/11-13	434	St.Paul	Site visit to Cray Research, Inc.
L30610	Condon, Tim	Senior Analyst	7/7	148	New York	Site visit to Neurotransplantation Program at NYU Med. Cen.
L30611	Brantley, Joyce	Analyst	7/7	132	New York	Site visit to Neurotransplantation Program at NYU Med. Cen.
L30612	Pomeroy, Clair	Research Assistant	7/7	135	New York	Site visit to Neurotransplantation Program at NYU Med. Cen.
L30613	Liskowsky, David	Analyst	7/7	131	New York	Site visit to Neurotransplantation Program at NYU Med. Cen
L30614	Bierbaum, Rosina	Senior Analyst	7/5-9	1,073	Aspen	Aspen Institute conference on Global Commons
L30615	Miller, Liz	Research Assistant	7/12-13	345	Minneapolis	Site visit to Cray Research, Inc.
L30616	Cancelled					
L30617	Cancelled					
L30618	Levenson, Howard	Senior Analyst	7/16-18	388	Orlando	1989 Nat'l Solid Waste Conf.
L30619	Feuer, Michael	Senior Analyst	6/30	131	Philadelphia	Site visit with training and industrial psychology experts
L30620	Gibbons, John	Director	6/23-24	38	Washington, D.C.	Conference with American Assoc. for Adv. of Science
L30621	Coates, Vary	Senior Analyst	7/10-11	0 1/	Denver	OPM Executive conference
L30622	Rowe, Kirsten	Analyst	6/22-25	70	East Lansing	Mich. State Univ., Comm. Res. and Action conf.
L30623	Wagner, Judy	Senior Associate	6/25-27	157	New Jersey	Conference on Drug R&D at Schering Plough, Corp.
L30624	Zimmerman, Marc	Analyst	6/22-25	230	East Lansing	Community Research and Action conference
L30625	Simerly, Pam	Analyst	7/10-13	441	Albany	Site visit with NY State Dept. Medicaid staff
L30626	Chludzinski, Paula	Research Assistant	7/10-13	468	Albany	Site visit with NY State Dept. Medicaid staff
L30627	Keller, William	Senior Analyst	8/30-9/2	668	Atlanta	Ann. Mtg. of Amer. Pol. Sci. Association
L30628	Roy, Robin	Analyst	8/12-18	387 1/	Denver	Energy & Materials Field Institute
L30629	Sedor, Joanne	Analyst	8/12-18	314 1/	Denver	Energy & Materials Field Institute
L30630	Wagner, Kathryn	Analyst	8/10-14	383	San Francisco	Hazardous Materials Control Research Institute
L30631	Sundt, Nick	Analyst	7/15-19	378	Boulder	14th Annual Workshop on Hazards Research and Applications
L30632	Cancelled					
L30633	Cancelled					
L30634	Singleton, Catherine	Manager, Opn Serv	7/20-22	198	New Orleans	Site visit with National Finance Center
L30635	Crew, Lola	Personnel Spec.	7/20-22	340	New Orleans	Site visit with National Finance Center
L30636	Andrews, Peter	Research Assistant	7/21-23	171	Boston	Site visit to Institute for Circadian Research
L30637	Brantley, Joyce	Analyst	7/21	194	Boston	Site visit to Institute for Circadian Research
L30638	Cancelled					
L30639	Liskowsky, David	Analyst	7/21-23	198	Boston	Site visit to Institute for Circadian Research
L30640	Cancelled					
L30641	Garber, Alan	Contractor	7/17-18	394	Washington, D.C.	Contractor meeting on prevention study
L30642	Hirschhorn, Joel	Senior Associate	8/2-3	0 1/	Atlanta	Union Carbid corp. mtg. on waste reduction
L30643	Westermeyer, William	Senior Analyst	7/20-8/12	3,030	Frankfurt	Siberia conf. and Energy Facility tour
L30644	Karas, Tom	Senior Associate	7/19	223	Boston	Conference at MITRE on tech. for verif. of arms control
L30645	Waychoff, Chris	Analyst	7/19	163	Boston	Conference at MITRE on tech. for verif. of arms control
L30646	Charo, Art	Senior Analyst	7/19	184	Boston	Conference at MITRE on tech. for verif. of arms control
L30647	Fainberg, Tony	Senior Analyst	7/19	188	Boston	Conference at MITRE on tech. for verif. of arms control
L30648	Newman, John	Analyst	8/16-20	374	Denver	Conference on Mineral Economics
L30649	Cancelled					
L30650	Hirschhorn, Joel	Senior Associate	8/22	187	Philadelphia	Amer. Institute of Chemical Engin.
L30651	Phillips, Michael	Senior Associate	7/26-27	703	Champaign	Amer. Institute of Cooperation
L30652	Sedor, Joanne	Analyst	Cancelled			
L30653	Cancelled					
L30654	Roy, Robin	Analyst	7/19	54	Richmond	Site visit to discuss electric system vulnerability
L30655	Roy, Robin	Analyst	7/24-27	328	Indianapolis	Site visit with Westinghouse factory for large transformers
L30656	Cancelled					

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REF NUM	NAME OF TRAVELER	TITLE	DATES OF TRAVEL	COST	DESTINATION	PURPOSE
L50637	MacDonald, Ted	Analyst	8/28-31	35	Annapolis	Agency for Int'l Development workshop
L50638	Walsh, Marie	Analyst	7/30-8/2	691	Baton Rouge	Conference of Amer. Agricultural Econ. Assoc.
L50639	Parham, Walter	Program Manager	9/24-28	809	Sacramento	Conference of Clay Minerals Society
L50660	Rowe, Kirsten	Analyst	8/11-15	708	New Orleans	Conference of Amer. Psychological Association
L50661	Garfinkle, Robert	Research Analyst	7/26-28	279	Milwaukee	Triangle Coalition for Sci. and Tech. conf.
L50662	Johnson, Peter	Senior Associate	7/25-27	689	Idaho Falls	Site visit to Idaho Nat'l Energy Lab
L50663	Diewald, Walter	Senior Analyst	8/6-8	476	Cincinnati	Site visit to EPA research labs
L50664	Diewald, Walter	Senior Analyst	8/13-16	649	Denver	Site visit to headquarters of American Water Works Assoc.
L50665	Andrews, Peter	Research Assistant	8/14-16	292	Williamsburg	Conference of Amer. Industrial Hygiene Assoc.
L50666	Wood, Fred	Senior Associate	8/5-6	406	Tulsa	National Conference of State Legislatures
L50667	McCabe, Gretchen	Analyst	8/1-2	532	Los Alamos	Supercrit. fluid process. of high risk wastes
L50668	Crow, Lola	Personnel Spec.	8/7-10	633	New Orleans	Site visit with National Finance Center
L50669	Singleton, Catherine	Manager, Ops Serv	8/7-10	398	New Orleans	Site visit with National Finance Center
L50670	Karas Tom	Senior Associate	8/11-18	463	Albuquerque	Site visit at Sandia and Los Alamos Nat'l Labs
L50671	Fainberg, Tony	Senior Analyst	8/16-22	794	Los Alamos	Briefing at Los Alamos
L50672	Charo, Art	Senior Analyst	8/14-18	667	Los Alamos	Site visit at Sandia and Los Alamos Nat'l Labs
L50673	Waychoff, Chris	Analyst	8/14-18	1,100	Los Alamos	Site visit at Sandia and Los Alamos Nat'l Labs
L50674	Cancelled					
L50675	Boyd, Sylvester	Sr. Systems Integr	8/7-10	617	New Orleans	Site visit with National Finance Center
L50676	Garcia, Linda	Senior Analyst	8/8-10	0 1/	Snowmass	Oregon State U. conf. on Academic Computing
L50677	Jensen, James	Dir., Cong. Affairs	8/29-30	445	Atlanta	Workshop at Amer. Pol. Sci. conference
L50678	Baldwin, Sam	Senior Analyst	8/16	186	Boston	Site visit at MIT Media Lab/Adv. Tele. Research Prog.
L50679	Gorte, Ross	Detailee from CRS	9/15-27	896	Spokane	Conference of Society of American Foresters
L50680	Roberts, Linda	Senior Analyst	8/19-28	128 1/	Tel Aviv	Keynote address at Int'l Symp. on Telecomm. in Education
L50681	Crane, Alan	Senior Associate	8/23-25	530	Knoxville	Conference on Energy Efficiency
L50682	Koffler, Henry	TAAC Member	2/27-28	751	Washington, D.C.	Technology Assessment Advisory Committee Meeting
L50683	Nishimi, Robyn	Senior Analyst	8/27-9/1	230 1/	Woods Hole	Conference on Occupational & Environ. medicine
L50684	Dougherty, Denise	Senior Analyst	8/8-11	0 1/	Denver	Conference on Maternal & Childhealth
L50685	Fulton, Kathleen	Analyst	8/17-18	120	New York	Electronic Learning Magazine
L50686	Weingarten, Rick	Senior Associate	8/24-27	793	Santa Barbara	Int'l Working conf. on Depend. Computing
L50687	McCabe, Gretchen	Analyst	8/21-24	494	Pittsburgh	Conf. on Low-level Radio. Waste Mgmt.
L50688	Phillips, Mike	Senior Associate	8/20-21	301	Columbus	Ohio State U. pgm. on farm income
L50689	Gelband, Hellen	Senior Associate	8/28-31	1,011	Freeport	Site visit with Dr. Lawrence Burton at his clinic
L50690	Hardman, Roger	Assistant Director	8/28-31	808	Freeport	Site visit with Dr. Lawrence Burton at his clinic
L50691	Kelly, Henry	Senior Associate	8/7	0 1/	Monterey	EPRI Advisory Panel
L50692	Oldenburg, Kirsten	Senior Analyst	9/18-19	0 1/	San Antonio	North Amer. conf. on Waste Exchange
L50693	Crane, Alan	Senior Associate	8/21	106	Eatontown	Health effects of power trans. lines
L50694	Chubin, Daryl	Senior Analyst	8/30	200	Atlanta	Workshop on Technology Policy Analysis
L50695	Ruby, Gloria	Senior Analyst	9/13-16	625 1/	San Antonio	Physician Payment Commission mtg.
L50696	Williamson, Ray	Senior Associate	9/5-11	0 1/	Boulder	Workshop on space science and transpor.
L50697	Hirschhorn, Joel	Senior Associate	9/19-23	755 1/	Geneva	Int'l Environ. Bureau Symposium
L50698	Westermeyer, William	Senior Analyst	9/8-20	2,975	Oslo	Site visit to deter. other methods of oil spill tech.
L50699	Liskowsky, David	Analyst	9/7	207	Boston	Site visit for committee on resident physician work hours
L50700	Blair, Peter	Program Manager	8/30-8/31	426	Atlanta	Technology Policy Analysis workshop
L50701	Jackson, Philip	Systems Anal.	9/10-14	850	Dallas	Conference on computer networking
L50702	Boyd, Sylvester	Sr. Systems Integr	9/10-15	659	Dallas	Conference on computer networking
L50703	Atkin, Jonathan	Analyst	8/30-9/1	319	Long Island	Conference on Nat'l Trans. Pol. and Security
L50704	Chin, Ritchie	Analyst	9/24-26	358	Seattle	Nat'l Assoc. of Development Organ.
L50705	Cancelled					
L50706	Levenson, Howard	Senior Analyst	9/8-14	136 1/	Santa Fe	New Mexico state legis. committee
L50707	Alic, John	Senior Associate	8/30-9/5	0 1/	Boston	Site visit to discuss Worker Training project

1/ Fully or partially reimbursed

REF NUM	NAME OF TRAVELER	TITLE	DATES OF TRAVEL	COST	DESTINATION	PURPOSE
L50708	Johns, Skip	Assistant Director	10/29-11/5	864	Nassau	Sea-Space Symposium
L50709	Emery, Sheryl	Analyst	9/13-15	370	Clarion, PA	Conference on Rural Public Libraries
L50710	Blair, Peter	Program Manager	9/7-8	485	Montreal	Site visit to James Bay La Grande Complex energy facilities
L50711	Williamson, Ray	Senior Associate	10/4-10	703	Malaga	Conference of Int'l Astronautical Federation
L50712	Niblock, Bob	Program Manager	9/13-15	389	Denver	Site visit at DOE nuclear weapons plant, Rocky Flats
L50713	Johnson, Peter	Senior Associate	9/13-22	638	Denver	Site visit at DOE nuclear weapons plant, Rocky Flats
L50714	Weingarten, Rick	Senior Associate	9/8	384	Boston	Site visit at Harvard for project on scientific networking
L50715	Baldwin, Sam	Senior Analyst	9/19-22	534	Ottawa	Conference on New Energy Tech., Trans., and Develop.
L50716	Kelly, Henry	Senior Associate	9/11-12	0 1/	Chicago	Conf. at Joyce Foundation on Amer. Econ. Growth
L50717	Phillips, Mike	Senior Associate	9/14-15	499	Dallas	Site visit on econ. analyses of emerging tech. in agriculture
L50718	Heinz, Lisa	Analyst	9/21-22	237	Detroit	Site visit to NSFNet operations center
L50719	Blair, Peter	Program Manager	9/13-21	898	San Francisco	Conference of Stanford Energy Modeling Forum
L50720	Chapman, Pidge	Office Admin.	9/19-21	341 1/	King of Prussia	Conference on Lotus use in Fin. and Acct.
L50721	Niblock, Bob	Program Manager	11/1-5	261	Nassau	Sea-Space Symposium
L50722	Simms, John	TAAC Member	10/24-25	1,134	Washington, D.C.	Technology Assessment Advisory Committee Meeting
L50723	Garcia, Linda	Senior Analyst	9/18-19	386 1/	Lansing	Michigan State U., Coll. of Comm., Arts & Sci.
L50724	Page, Edith	Senior Associate	9/20-22	482	St. Louis	National Waterways conference
L50725	Shaw, Alan	Program Manager	9/24-27	713	Los Alamos	Conference on Conventional Force Reduction
L50726	Cancelled					
L50727	Cancelled					
L50728	Koffler, Henry	TAAC Member	10/24-25	442	Washington, D.C.	Technology Assessment Advisory Committee Meeting
L50729	Cancelled					
L50730	Hunt, James C.	TAAC Member	10/24-25	614	Washington, D.C.	Technology Assessment Advisory Committee Meeting
L50731	Peterson, Chase	TAAC Member	10/24-25	404	Washington, D.C.	Technology Assessment Advisory Committee Meeting
L50732	Potter, David	TAAC Member	10/24-25	1,034	Washington, D.C.	Technology Assessment Advisory Committee Meeting
L50733	Earl, Neil	TAAC Member	10/24-25	414	Washington, D.C.	Technology Assessment Advisory Committee Meeting
L50734	Perry, William J.	TAAC Member	10/24-25	531	Washington, D.C.	Technology Assessment Advisory Committee Meeting
L50735	Robinson, Jenifer	Senior Analyst	9/19-24	841 1/	San Francisco	Site visit to NUMMI to study training programs
L50736	Wagner, Kathy	Analyst	9/20	194	Boston	Site visit to discuss medical waste technology cost
L50737	Lukas, Mike	Software Sys. Spec	11/12-16	268	Chicago	Conference on computer training
L50738	Miller, Brenda	Software Sys. Spec	11/12-16	268	Chicago	Conference on computer training
L50739	O'Connor, Kevin	Senior Analyst	9/29-10/5	735	San Francisco	BIOTEC '89 conference
L50740	Feuer, Mike	Senior Analyst	9/25-26	323	New Haven	Site visit at Yale Univ. for alternatives to standard. testing
L50741	Dunkerly, Joy	Senior Analyst	9/28-29	320	Boston	Conference of Energy Modeling
L50742	Fainberg, Tom	Senior Analyst	8/16-22	518	Las Vegas	Participated at Los Alamos on Verifi. Tech. and Terrorism
L50743	Weingarten, Rick	Senior Associate	9/28-29	316	New York	Site visit at NYU to discuss Education Technology and Networking
L50744	Gibbons, John	Director	9/27	0 1/	Charlottesville	University of Virginia
L50745	Fainberg, Tony	Senior Analyst	9/19-22	0 1/	Toronto	Conf. for US Information Agency at York Univ.

1/ Fully or partially reimbursed

Question: How has the proposed legislation mandating OTA action progressed? Please update pages 10-13 of your FY 1991 Budget Justification.

Answer: As of April 12, 1990, no laws mandating activities for OTA have been enacted since OTA's FY 1991 Budget Justification was submitted. The following list includes bills mentioned in OTA's 1991 Budget Justification with changes in the "Last action" item, and one newly introduced bill.

H.R. 7 Last action: April 5, 1990, the Senate asked for a conference.

H.R. 1078 Last action: February 9, 1990, unfavorable Executive Comment received

H.R. 3299 Last action: December 19, 1990, became P.L. 101-239, but was enacted without the mandated activities for OTA

S. 1036 Last action: March 29, 1990, message on House action received in the Senate

S. 1578 Last action: February 1, 1990, Executive Comment Requested

S. 1593 Last action: January 17, 1990, referred to subcommittee

S. 2114 Last action: February 8, 1990, introduced and referred to committee
A bill to promote excellence in American mathematics, science, and engineering education . . . .
Would make the Director of the Office of Technology Assessment a member of the Learning Advisory Panel of the newly established National Institute of Technology and Learning.

Question: You are requesting an increase of $98,000 over the 1990 base for Building Lease expenses. Please justify this increase. List all buildings which OTA currently leases.

Answer: OTA currently leases approximately 76% of the building located at 600 Pennsylvania Avenue, SE. OTA leases no other buildings.

The following is a breakdown of the $98,000 increase over the 1990 base for Building Lease expenses.

FY '90 Base cost (includes rental space, parking taxes, and operating expenses)	$1,801,602
FY '91 Estimate for CPI-w increase	$ 21,469
FY '91 Estimate for Parking increase	16,284
FY '91 Estimate for D.C. Property Taxes increase	28,247
FY '91 Estimate for Operating Expenses increase	32,000
TOTAL INCREASE FOR FY '91	$ 98,000

Question: You are requesting $2.5 million for research contracts, an increase of $904,000 or 57% over the current allowance, to help reduce your backlog. This is your only program increase.

- **How do you define your backlog? What are the major elements?**

Answer: OTA's backlog -- committee requests, both formal and informal, that we've not yet undertaken -- is composed of 4 main elements: 1) requests that we have been forced to delay because of staff unavailability or inadequate funds; 2) portions of requests that we have been forced to eliminate from study proposals in order to keep the project within the confines of a restricted budget; 3) inquiries which we have been able to persuade a committee to defer formalizing until resources to perform a study would be available to OTA; and 4) studies requiring significant foresight and a broad, integrative approach in which committees have expressed an interest but whose topics are not on the immediate congressional agenda.

- **What kinds of work have you been unable to undertake?**

Answer: To date, OTA has generally been able to undertake the kinds of work expected from us -- ranging from indepth assessments of complex technological issues to quick but thorough responses on immediate technical questions. What we are becoming unable to do is respond to all the requests we receive from committees with urgent needs in the time frame and at the level of detail that they require. For examples, OTA received many more requests from Members of Congress for assistance on the Clean Air Act deliberations than we were able to fill. OTA's work is in very high demand, and our budget has not kept pace with those demands.

- **Can you give us an indication of the top 3 to 5 projects or assessments in your current backlog that you would propose to address?**

Answer: Each OTA Division has several backlogged requests. Included among the high priority requests we've recently been forced to defer are studies on "Industry Development and Trade Potential for Pollution Reduction Technologies" and "Technology and Feasibility of a Hydrogen v. Fossil Fuel Economy" (Energy, Materials, and International Security Division), studies on "A National Screening Program for Cystic Fibrosis" and "Disaster Management Technologies for the Third World" (Health and Life Sciences Division), and a study of "Technologies to Promote Literacy" (Science, Information, and Natural Resources Division).

Question: In your budget justification you list a significant number of instances of OTA's cooperation with other agencies. Such cooperation ensures that OTA focuses on the technological issues involved in these areas of study. I note, however, that several of the candidate areas you list for assessments in FY 1990 and 1991 do not seem to focus on technological questions (for example -- Trade with Eastern Europe, Keeping Older People in the Workplace, Agricultural Alternatives to Illegal Drug-crop Production, and Drug Abuse Prevention and Treatment -- Reducing the Demand for Illegal Drugs).

- **Explain how these new assessment areas are selected?**

Answer: OTA normally undertakes new studies only at the request of congressional committees, but in order to plan ahead, we undertake discussions with external advisers and committee Members and staff to discern their sense of priority and anticipated needs. The topics listed in the FY 1991 Budget justification have been identified by congressional committees, OTA, and its advisers as typical technical issues that the Congress will face over the next several years. The listing is representative and is not intended to be complete, or to be a forecast of work that will actually be requested and approved.

- **When you engage in a new project, how do you focus your study on the technological side of the issue?**

Answer: Our advisory panels, which are separately organized for each study, help us understand the broad perspectives of the complex issues before the Congress and help us focus on the key technical issues. If we were to undertake a study of Keeping Older People in the Workplace, for instance, we would include in the panel of stakeholders and experts those people who understand the technologies that can help compensate for the effects of physiological decline. But we would also include industry and worker stakeholders who will have to be enlisted in the effort to make any new technologies work effectively. This group of people would help us scope the study and aid us in posing the key technological questions requiring answers before policy choices could reasonably be made. It should be noted that OTA's congressional charter charges the Office to take into account impacts -- for better or worse -- that include but go well beyond technology issues, per se, and include physical, biological, economic, social, and political effects.

Question: We have established that extensive cooperation with agencies like GAO, CBO, and CRS is essential to your mission.

- **Would it not be more efficient and logical for OTA to simply become a part of GAO, CBO, or CRS?**

Answer: OTA, GAO, CBO, and CRS pursue distinctly different missions: OTA concentrates its efforts on analyzing and disseminating complex technical information to Congressional laymen; GAO audits the management of federal programs; CBO specializes in projecting budget impacts of new and existing federal programs; and CRS functions as a quick and reliable reference service for Members and their staff. It would be neither logical nor efficient to try to force fit OTA's unique operation -- carefully honed over the past 15 years -- into another agency.

- **What advantages present in the current structure preclude such a restructuring?**

Answer: OTA was designed to have only a small core staff that would be supplemented on an as-needed basis by additional experts. Our ability to network readily with experts within and outside the government -- throughout the nation and around the world -- would be seriously compromised if we were incorporated into a larger bureaucracy whose mission statement was significantly different from OTA's.

OTA's bicameral, bipartisan Technology Assessment Board (TAB), which oversees OTA's management and assures allocation of its resources to the highest and best uses for Congress, is a unique feature of OTA that would be difficult, if not impossible, to maintain if OTA were made part of another agency.

Question: You have sought to show the relevance of OTA's activities to legislative policy decisions in both your statement and justification by citing numerous examples of references to OTA products in the course of the legislative process.

- **In your judgment, what are the three most important OTA policy recommendations or options adopted by the Congress in the first session of the 101st Congress?**

Answer: Many of OTA's policy options have been transformed into legislation. We do not pretend to take credit -- for that is rightly Congress's -- nor do we want to specify what was most important. Nevertheless, a few examples follow:

1) At Congressional direction, EPA has adopted several of the waste reduction initiatives in OTA's report, Serious

Reduction of Hazardous Waste. This amounts to a major and fundamental shift in the strategy of how to tackle long term issues of waste.

2) Congress approved payment for breast cancer and cervical cancer screening under Medicare as a result of case studies performed as part of OTA's assessments of Preventive Health Care.
3) OTA's report, Informing the Nation, contributed to the formulation of legislation addressing the future role of the Depository Library Program in electronic dissemination that is pending in the 101st Congress.

It is important to note that OTA's analyses have also been used as the bases for decisions not to legislate or to scale down the requirements of legislation on particular issues, such as the Clean Air Act.

Question: I noticed that for 1991 you have reduced your estimate of the number of reports to be produced. At the same time you are asking for more contract funding.

o **How do you reconcile higher funding for contracts with fewer reports produced?**

Answer: The reports published by OTA in FY 1991 will be based on analyses, supported in part by contract work, performed mostly in prior fiscal years. Thus it was the decline in available contract dollars in Fiscal Years 1989 and 1990 that is reflected in the smaller number of full assessment reports slated for publication in FY 1991 as compared to FY 1990. Most of the results of contract work performed with Fiscal Year 1991 dollars would not likely appear until Fiscal Year 1992 or 1993. This is a function of the indepth nature of OTA's work, as compared to the typical emphasis on quick but less analytical and detailed responses at CRS and GAO.

o **If only a fraction of the funding requested for 1991 is provided, how will the quantity and quality of OTA products be affected?**

Answer: If the full request for contract funding is not provided, OTA's efforts will necessarily be concentrated on fewer assessments, thus the number of full assessment reports to be anticipated in future years (e.g., FY 1992 or 1993) would continue to be commensurately diminished. We would anticipate no decline in report quality, but the scope of reports may be more limited, and the quantity of reports would be reduced.

o **What trends do you foresee in OTA's products over the next 5 years? 10 years?**

Answer: The Nation's problems and prospects -- from industrial competitiveness, to resource equity issues, to environmental change -- are now more intertwined and global in scope, and OTA's work will reflect this fact as we prepare analyses for the Congress. We would expect our reports, over the next 5 years, to be more international in the scope of their analyses, but the form, which includes both indepth and limited analyses, will probably remain about the same. As Congress organizes to deal with issues in a more holistic and less ad hoc way, OTA will need to place increased effort (already evident) on carrying out more comprehensive and integrative studies, dealing with multiple committee interests. Though the internationalization of technology and technology assessment is likely to continue, we really cannot project as far out as 10 years in terms of the substance or form of OTA documents.

Question: In FY 1989 you had only one new Congressionally mandated study or activity. You have indicated that it is your goal to minimize such mandates. In your justification, however, you list over 20 pieces of proposed legislation which could mandate OTA action.

- **What action are you taking now to delete these mandate provisions from the legislation you have identified?**

Answer: OTA, with the concurrence and assistance of TAB, is continuing discussions with committee staff and sponsoring Members to ensure that these mandated activities are not enacted. We generally find that staff and Members are willing to work with us to find other avenues to acquire the information they need rather than through an OTA mandate.

- **How would your agency handle the dramatic increase in workload if all this legislation passed? What priority work would likely be displaced?**

Answer: Each committee that requests an analysis from OTA considers it a priority request. OTA has not prepared a full cost analysis of the impact of performing all the potential mandates listed in our FY 1991 Justification of Estimates, but it is fair to say that, combined, the potential mandates represent the equivalent of about 10 to 15 full assessments. Thus if all those mandates became law and were, thereby, unavoidable, they would displace one-third to one-half of OTA's average workload of about 30 assessments in progress. Possible topics of the displaced requests can be found in answers to previous questions or in OTA's FY 1991 Justification of Estimates.

Question: Explain how the Service Contract Labor Standard Act would force a $42,000 increase in facilities management costs.

Answer: For certain services contracts, all government must comply with the Service Contract Labor Standard Act. This insures that the government pays a rate equivalent to the local market rate to the contractor employees. However, the largest part of the above increase reflects the contractor's merit increase/performance adjustments. These are in the line with local wage scales and the justifications must be approved by OTA as part of the yearly proposed contractor budget.

Question: In 1989 your estimated printing cost was $13,000 higher than the actual. Yet, for 1990 and 1991 you are projecting increase. Explain this in light of the reduction in the number of reports produced.

Answer:	TAB Approvals	Published Products*	Publishing Costs
FY 1989 Actual	15	41	536K
FY 1990 Actual	12	60	586K
FY 1991 Est.	18	61	629K

* Includes Reports, Report Supplements, Technical Memoranda, Background Papers, Case Studies, Staff Paper, Workshop proceedings, and Administrative Documents.

The number of published products went up between 1989 and 1990, then remains nearly constant between FY 1990 and FY 1991. A 7% inflation factor was applied to the FY 1990 base as anticipated by GPO Circular Letter No. 307 dated April 28th, 1989.

LIBRARY OF CONGRESS

STATEMENT OF JAMES H. BILLINGTON, LIBRARIAN OF CONGRESS

ACCOMPANIED BY:

- WINSTON TABB, ACTING DEPUTY LIBRARIAN OF CONGRESS
- DONALD C. CURRAN, ASSOCIATE LIBRARIAN FOR OPERATIONS AND ACTING ASSOCIATE LIBRARIAN FOR CONSTITUENT SERVICES
- HENRIETTE D. AVRAM, ASSOCIATE LIBRARIAN FOR COLLECTIONS SERVICES
- CHARLES DOYLE, ACTING LAW LIBRARIAN
- JOHN Y. COLE, ACTING ASSOCIATE LIBRARIAN FOR CULTURAL AFFAIRS
- RHODA W. CANTER, ASSOCIATE LIBRARIAN FOR MANAGEMENT AND ACTING ASSOCIATE LIBRARIAN FOR SPECIAL PROJECTS
- RALPH OMAN, REGISTER OF COPYRIGHTS
- JOSEPH E. ROSS, DIRECTOR, CONGRESSIONAL RESEARCH SERVICE
- HERBERT S. BECKER, DIRECTOR, INFORMATION TECHNOLOGY SERVICE
- FRANK KURT CYLKE, DIRECTOR, NATIONAL LIBRARY SERVICE FOR THE BLIND AND PHYSICALLY HANDICAPPED
- ALAN JABBOUR, DIRECTOR, AMERICAN FOLKLIFE CENTER
- ADOREEN McCORMICK, LEGISLATIVE LIAISON OFFICER
- MICHAEL H. SHELLEY, SPECIAL PROJECTS ASSISTANT
- ERIC SCHWARTZ, POLICY PLANNING ADVISOR, COPYRIGHT OFFICE
- JOHN D. WEBSTER, DIRECTOR, FINANCIAL SERVICES
- JOHN O. HEMPERLEY, BUDGET OFFICER

BUDGET REQUEST

Senator REID. We are now going to turn our attention to the Library of Congress. The Library is proposing a total budget request of $326.5 million, including offsetting collections of $21.1 million and 5,469 positions for 1991. This represents an increase of $59.4 million, or 22 percent, and 295 positions over the current year. The request also includes funding to fill 131 positions that are presently vacant.

I would have to agree with the Librarian that this is a nonroutine request, as he characterized it in his prepared remarks. I also agree, as I said last year, that the Library is both an invaluable and underdeveloped asset. It is in many respects a flagship of our cultural and intellectual institutions. It has often been shortchanged even in comparison with other Federal libraries and cultural institutions.

HARSH BUDGETARY REALITIES

Having said all this, though, I am afraid there is no way to evade the harsh budgetary realities we face. I don't expect the kind of increase in the subcommittee's allocation that would enable us to fund all the increases in this request. In fact, as I understand it, it will take about $22 million just to keep the Library even with pay costs and inflation. We may have a hard time providing that much of an increase. Any new initiatives over this baseline will probably be very difficult to squeeze out of what we have to work with. So it is crucial that we begin now to establish the really essential priorities in the Library's development and mission.

That is what this appropriation process always comes down to in the final analysis. I know we can depend on the Librarian and his staff to cooperate fully in this effort, and for our part, I intend to do everything I can to provide the kind of support a stellar institution like the Library deserves.

It is always difficult, Senator Nickles, for me to find protocol, but we have the senior member of the Appropriations Committee here, and I would call upon him if you wouldn't mind.

Senator **Nickles**. That is fine.

Senator **Reid**. Senator Hatfield, do you have anything?

Senator **Hatfield**. Thank you, Mr. Chairman. No; I am here to primarily listen to Dr. Billington.

Senator **Reid**. Senator Nickles.

LIBRARIAN WELCOMED

Senator **Nickles**. Dr. Billington, welcome. We look forward to your statement. I would agree with Chairman Reid. In looking at the request that you have, you have a very large request, almost $52 million. It is a big increase also. I would ask you to possibly explain why you are looking for 295 new positions. If I am correct, I understand that there is 131 that are currently vacant. So you might mention that in your remarks as well.

I know you are asking for a big increase. I am very supportive of many of the things that you do, but that is still going to be a very hard thing for us to come up with the money for. So I look forward to your statement.

LIBRARIAN'S STATEMENT

Senator **Reid**. Please proceed. We would like you to summarize your statement so we can get to the questions.

Dr. **Billington**. Thank you, Mr. Chairman.

I am pleased to present this budget, fully recognizing this is something of an extraordinary one. But the Library of Congress is a very unusual institution. The 20.5-percent net increase that we are requesting over fiscal 1990 represents the real needs of the Congress' Library reached after probably the most extensive review of its functioning in its history. It is also the national Library of the United States. It is the world's leading library. It is the library of last resort for most information problems in the world. It is the knowledge infrastructure of the Nation. As we are entering a new decade, as we are entering the information age, it is the largest supply of knowledge and information in the history of the world in the most diverse formats. What we have presented is not a wish list, I think, but the solid base that the Library needs to continue performing its established mission.

We are at a crossroads. I am sorry it has to come at time of such budgetary constraints—but we have completed a management review, a major reorganization, we have identified our mission, our potential for service, and developed, I think, a long-term strategy that is practical, that is experimental, that is based on feedback not just on wish lists, to provide leadership in supplying the information and knowledge needs of the American people for the 21st century with this extraordinary institution that the Congress has created and sustained.

Now, thanks to advances in technology and public awareness, we have never had better prospects and more demands for using the Library's extraordinary assets in new ways to help our Nation deal with the fundamental problems it faces in education, in competitiveness, and so forth. But we are simply unable to carry out this mission because of inadequate funding. Annual appropriations for this Library have increased a little under 14 percent during the past 6 years, a period in which comparable national cultural institutions in Washington have received increases in Federal appropriations between 36 to 65 percent. These other institutions often have substantial private funds to supplement their Federal appropriations which the Library has historically not had. It has been falling behind and not even able to keep up with inflation, as chart 1 indicates, and essentially declining appropriation——

Senator REID. Chart 1?

APPROPRIATED FUNDS NEEDED

Dr. BILLINGTON. Chart 1 is in the statement. The first chart just simply illustrates this erosion through the various pay absorptions and sequestrations.

The net result of this is that the Library, again, taking the same 6-year period since 1984, now employs 475 fewer employees on Federal appropriations than it did then. We are making a lot of efforts to obtain private support. We just created a new Madison Council to enhance the Library's outreach programs to the Nation. We will also be asking for statutory authority to charge fees for specialized and tailored services. But even the greatest foreseeable success in these efforts would not diminish the need for the appropriated funds to sustain the basic established programs of the Library of Congress. Private funds and fees for service will allow us only to broaden public programs and to offer new specialized services to exploit these collections.

SAVINGS TO LIBRARY COMMUNITY

The Library of Congress makes a profound difference in bringing information to the Congress and to the American people. We conservatively estimate that our cataloging services alone—and this is chart 2—save the Nation's libraries $352 million annually. That is a very conservative estimate, Mr. Chairman, really, based on the largest 13,000 libraries that we serve. But since there are 110,000 libraries in the United States, the real figure would be very much larger than that. It is not too much to say that our cataloging subsidy alone to the Nation's libraries is greater than the annual request that we are making here.

Senator NICKLES. Could you explain that a little bit?

Senator REID. I am having trouble finding all this stuff you are referring to.

Senator NICKLES. Just how are you saving it? I just would like to understand it better.

Dr. BILLINGTON. Well, the Library of Congress since the beginning of this century has distributed cataloging information, originally, in the printed catalog cards that it prepares—and we still do cards for smaller libraries that can't afford the electronic tapes. More recently we sell the MARC records which are electronically retrievable bibliographic records to libraries. The Library of Congress does an enormous amount of cataloging, which it then shares with the Nation at a very minimal cost and for far less than it would cost if individual libraries had to do their own cataloging. It is a historic service that is provided direct to other libraries and to vendors who repackage it and sell it. The base of the bibliographic records of the entire library system of this country lies in the usage of Library of Congress bibliographic records. The majority of the cataloging is still done here. We are not only cataloging the books which the Congress wants and the scholars who come here to use them, but we are providing the bibliographic records historically for the Nation's entire libraries.

Senator NICKLES. And you have always done that?

Dr. BILLINGTON. We have done it since the beginning of this century. Ms. Avram, our director of collections services, was one of three recipients of a senior executive Federal award for her historic work in developing the MARC electronic records which the country's entire library system uses.

Beyond that, the Library has done nearly one-half of all preservation microfilming. We annually answer some 2 million reference inquiries from around the country, and over 600,000 copyright inquiries this year. Other current programs of the Library show what can be done for the Nation, I think at very little cost to share our incomparable resources.

AMERICAN MEMORY PROJECT

Last year, we discussed how we could bring the Library's resources as well as the bibliographic record to schools and libraries through our multimedia American Memory project. This project is on schedule. It is attracting substantial private support thanks to the initial support and vote of confidence provided last year by the Congress.

The Library of Congress is America's memory. We have most of the Presidential papers up to Coolidge. The Library contributed the exhibit "To Make All Laws: The Congress of the United States, 1789–1989" for the Bicentennial of the Congress. We also organized a traveling exhibition which is now crossing the United States to 31 sites. Our Educators' Institute brought school teachers and librarians from some 21 States to Washington last summer to study the Congress; later, they shared what they learned with other teachers and librarians in the localities where the exhibit will be shown.

This exhibit catalog was very popular, written by the head of our manuscript division. It will be published in a hardback edition for secondary schools shortly, with an introduction by former Speaker O'Neill.

ON-LINE SERVICE PILOT PROGRAM

Now, another new national initiative this year which has had exciting results, again at very little cost, is the Library's pilot program putting 14 libraries of all types from all parts of the country on line to its machine-readable bibliographic and other files. Our people report active use of the files, enthusiastic response from the participants.

Just one example, I was reading the preliminary results of this. One of the libraries is the California State Library that is on line. These files were of enormous value in organizing information on earthquake activities and disaster assistance. They had instantaneous electronic hookup with our bibliographic and other data bases for the needed information.

We also put on line to the USIA library system, which goes to 95 libraries around the world. In Bulgaria, for instance, a country which, unlike other Eastern European countries for whom we are practically running a continuous seminar on the functioning of legislatures and democracies, doesn't have that much access to information, they were using the bibliographic hookup through the USIA system to obtain information on free assembly. This is showing exciting, highly beneficial results for librarians and others across and even outside the country.

SERVICES TO NATION ILLUSTRATED

Now, what I would like to do is give you just briefly a map of the United States which illustrates some of our services to the Nation, because in supporting the Library of Congress and in requesting this, we are not simply asking for support for the Congress, although this is extremely important, but for the whole basic educational and ultimately, we think, productive and competitive infrastructure of the country. The small blue dots represent the more than 13,000 libraries which are the most substantial beneficiaries from our cataloging service, though by far not the only ones. The orange dots represent 160 centers which——

Senator REID. What are the blue ones?

Dr. BILLINGTON. The blue ones represent the 13,000 principal libraries.

They represent the largest beneficiaries of our cataloging that I have just pointed out, this $352 million plus subsidy to the Nation's libraries.

Now, the orange dots represent the 160 centers which distribute more than 20 million items a year to the blind and physically handicapped.

Senator REID. Why are these different sizes? I mean the orange dots.

Dr. BILLINGTON. Well, the orange dots are actually Library of Congress distribution centers for the National Library for the Blind and Physically Handicapped.

Senator **Reid**. No; but why are some orange dots bigger than others?

Dr. **Billington**. Kurt, can you explain?

Mr. **Cylke**. Our networks have regional libraries in all but two States in the United States. There are then subregional libraries which would be considered in the public library, like branch libraries. The smaller dots are the branch libraries; the larger dots are the regional libraries.

Senator **Reid**. I see.

Dr. **Billington**. Now, the book symbols that we get on the next one are for the 20 State Centers for the Book, and the stars are sites for the traveling exhibits mainly "To Make All Laws," the traveling exhibit much of which is hooked in with the Educators' Institute. It is on the history of the Congress.

The next one, the gold lines, represent libraries that are on line with the Library computerized card catalog. I stress that is an experimental program. Selection of the libraries was done competitively. It has been successful. As with all these things, we do pilot programs before we go further.

Senator **Reid**. I am sure there must be a mistake on that. I don't see anything going to Oklahoma or Nevada.

Senator **Hatfield**. Oregon is the regional draw. [Laughter.]

Dr. **Billington**. This is the early experimental phase, Mr. Chairman, a 6-month pilot. We are going to evaluate it, and then we hope we will extend it further.

The diamonds represent 50 non-Federal research libraries that exchange cataloging information with the Library because we are increasingly trying to do this cooperatively, and the X's indicate that every State in the Union borrowed books from us in 1989, which unlike most libraries where you borrow from another library you pay for it, you don't for the Library of Congress. That is yet another form of subsidy.

The pyramids indicate States with reference correspondence agreements with the Library of Congress, and the squares show that 48 States, the District of Columbia, and three territories receive free books from our donation collection. We distribute over a half million surplus books a year. We don't sell them; we just distribute them free. Whole categories of libraries, like prison libraries, are very largely stocked with our free books.

FOREIGN ACQUISITIONS PROGRAM

The blue circles now represent 62 libraries which participate in the Library's foreign acquisition program. In addition to the one-half million items that we distribute free, we also, in effect, purchase scholarly materials for other research libraries—for 62, at least. The numbers are going to increase if you will approve funds for our Mexican and West African offices. The demand, particularly in the Mexican case, from public libraries for Hispanic purchases is very great. Our overseas purchasing is done cooperatively for other libraries throughout the country. Those programs illustrated on the map are some of the principal forms of direct national service which the Library of Congress performs.

Up to now, our Government, through its national Library, has been able to sustain the universal collection of knowledge in one place, as I say, in almost every format, language, and subject. It seems to us that to do otherwise at this point in our Nation's history, as we are entering the information age when more and more jobs are information-based and more and more needs are education-based would have a profoundly negative effect. This central base constitutes the living intellectual core, we think, of America's future. Electronic technology that is emerging will make it possible for the Library of Congress increasingly to become not only the great collection it is in Washington, but a dynamic service center for the libraries and schools and the productive R&D of the United States. This Library will increasingly serve the American people nationwide through a sophisticated network of local libraries which will be the community outlets funneling knowledge from the Library of Congress efficiently to local users, in schools, in R&D centers and in the productive private sector.

In the 21st century, this Library, working as a team cooperatively, as we always have, with other institutions, will become the engine of increased, knowledge-based productivity in every sector, making electronic surrogates of important selected collections available for local use at other institutions, which will result in substantial savings for the entire country.

NATIONAL RESEARCH AND EDUCATION NETWORK

Proposals in Congress for a high-speed, high-capacity national research and education network, for instance—the so-called computer highway—would greatly facilitate this broadening of access to all our resources. Already, the catalogs of major research libraries throughout the country are part of this network with the Library. The proposed single network would fulfill the requirements both of those who create and exchange knowledge and those who search for information. This Library could play a major role, really a central role, in helping to make this network an everyday tool of researchers in all sectors of American life.

Now, putting the world's largest reservoir of human knowledge to good use for the Nation is our mission, but it is not really possible unless the most basic business of preserving and making available the collections gains a higher level of support than exists at the present.

Prompted by the Appropriations Committee's explicit request during the last year to itemize for the first time really—what it would take to solve the Library's long accumulating problems of both preservation and arrearages, we are developing plans for dealing with these problems.

ARREARAGE REPORT SUBMITTED

Our report on unprocessed arrearages was submitted to this subcommittee on December 1. It is illustrated on chart 3. The estimated total costs of processing these arrearages are staggering. But what we have done is to develop pilot programs to test different approaches to coping with this backlog as economically as possible and with the least disruption to service.

Our budget request before you today begins to address the problem. We ask $7.3 million additional funds, primarily for more processing and cataloging staff to reduce the growth in arrearages, and to begin tackling the backlog with pilot projects.

We have received the final report of our arrearages special projects team between the House hearings and these hearings, Mr. Chairman, and we have slightly reconfigured what it is that we are requesting within the $7.3 million, without raising the figure, however.

This is the first step in a phased strategy designed to stop present arrearages and essentially eliminate the backlog by the year 2000, which will be the 200th anniversary of the Library.

We intend to enlist volunteer help. We have already been using unpaid student interns to do nontechnical precataloging work on arrearages and maps, for instance, and in prints and photographs. And as part of our pilot project, we will expand the volunteer effort, but we need more professionals as well.

Sharing the wealth of this Library's collections with the American people, cataloging the unique items in our collections—those found only in the Library of Congress—is a major step. We are, for example, requesting funds to process nearly 700,000 items in the National Association for the Advancement of Colored People archives. These records date from the 1960's and 1970's. We have already processed some 400,000 items in this collection from 1919 to 1959, but we must finish the job of cataloging and inventorying the most significant movement toward equality in this Nation's recent history both for its own sake and as a model for processing other similar treasures. This is one of our most heavily used collections. By tackling large special collections at the outset, we will be able to reduce dramatically the number of items in the arrearages in a short period of time, while at the same time making important materials available to researchers.

Additional funds are requested to handle currently acquired books, periodicals and special format collections which document the history of civilization with special emphasis on America, many of which are not available elsewhere. So long as they are unprocessed, they cannot be used, their security is endangered, and their preservation is delayed.

Senator **Reid**. Dr. Billington, you are about to wear me down. You are going to have to speed up your statement here.

Dr. **Billington**. All right.

Senator **Reid**. We have a lot of questions.

Dr. **Billington**. I have brought some examples of unprocessed materials, which we won't bother to take your time with them.

Senator **Reid**. If you have something you prepared you want to show us, that is fine, but not just to read your statement. That one graph you showed us I think was most illustrative.

Dr. **Billington**. I was going to show you the kinds of things that we have with the NAACP archives, foreign newspapers—I don't have to bother you with them—original notations on music documents, the John Philip Sousa collection, for instance; foreign broadcasting, videotapes of events in Eastern Europe, of which we have a good collection. These are the kinds of things that need to be processed—a microfilm, for instance, that we are getting on exchange from the Soviet Union. We don't even know what it is because they send us huge cans. In addition, we have early photographs, political cartoons, old documentary photographs of native Americans from the Pacific Northwest, Japanese technical publications received through exchange agreements which were important and so forth.

I just mentioned preservation. As you know, that has also been a major priority. We want to maintain the momentum, so we have a $1 million request to provide funding for the photonegative project.

SECONDARY STORAGE FACILITY

Secondary storage is extremely important. We are reaching our practical capacity by the end of fiscal year 1992, so we have to put in another request for a secondary storage facility. And, of course, there is the problem of mandatory payments for which $16 million is required. We have had to absorb just last year an extraordinary amount of pay raises and sequestrations, so that more than 13 out of 100 authorized positions are now left vacant. Last year's rate was only 10 out of 100. This lapse is going up, and the result is an unacceptable deterioration in services.

STAFF DEVELOPMENT

There is also an important request in here for staff development, which is our most important frontier. Our employees need training and retraining. We need support in automation. We have no base for incentive awards and for other forms of training as compared with other Federal agencies.

These are important frontiers of our whole reorganization process, to get more out of the extraordinary staff that we now have, and we need training and development funds. Nearly 28 percent of the increase or $16.4 million is just for mandatory pay-related items. Others are for the essential automation and training which I think we have identified.

I would just say in conclusion, Mr. Chairman, that on an issue like arrearages or issues like preservation—and, indeed, on issues like staff development and training—what we are presenting to you is not at all the sort of open hunting license to go after these problems, but it is carefully selected pilots which will make a major dent in solving our problems. For instance, on the matter of arrearages, we have a program here which will reduce by 11 million the 38 million items in arrearages within the first 3 years. In the course of those pilots, as with our electronic hookup with the Nation, we are learning by experience. You are dealing with experimental pilots that will give us feedback and give us substantial economies in the future, as I think our new management structure will also do.

PREPARED STATEMENT

I have taken perhaps too much time already, and I apologize.

[The statement follows:]

STATEMENT OF JAMES H. BILLINGTON

Mr. Chairman, Members of the Subcommittee: I am pleased to present the budget of the Library of Congress for fiscal year 1991. Our budget request totals $326 million, an increase of 22 percent over fiscal 1990.

This proposed budget presents the real needs of the Congress' library—the national library of the United States, the world's leading library—as we enter a new decade. It is not a wish list, but the solid base needed to continue performing its established mission.

The Library is now at a crossroads in its long and distinguished history. We have completed a large-scale management review. We have undertaken a major reorganization. We have identified our mission, our problems, and our potential for service. We have developed a practical long-term strategy to provide leadership in supplying the information and knowledge needs of the American people for the 21st Century.

Thanks to advances in technology and in public awareness, the prospects have never been better for using the Library's great assets in new ways to help our nation deal with the complex new world of the future. Our people know what we have to do, and we are committed to finding better ways to do it.

However, this Library is increasingly unable to carry out its mission because of inadequate funding. The Library of Congress is the jewel in the crown of America's great cultural and intellectual resources. Few Americans would dispute that fact. Yet annual appropriations for the Library have increased only 14 percent during the past six years. Since 1984, comparable national cultural institutions in Washington have received increases in federal appropriations of 36 to 65 percent—often supplemented by private funds which the Library has not had.

The Library has fallen behind. It has not been able even to keep up with inflation in book prices, with the requirement to absorb sequestrations, and with the need to absorb all or most of recent mandated annual pay raises. (Chart #1) An essentially declining annual appropriation has begun to erode the Library's ability to serve the nation. The Library now employs 475 fewer employees on federal appropriations than in 1984. This alarming erosion should not be allowed to continue.

We are making every effort to obtain private support to enhance some of the Library's outreach programs. We will also be asking for statutory authority to charge fees for specialized and tailored services. But even the greatest foreseeable success in these efforts would not affect our need for the appropriated funds to sustain the established programs of the Library of Congress. Private funds and fee for service will allow us only to broaden our public programs and to offer new specialized services to exploit the Library's collections.

SHARING LIBRARY RESOURCES

The Library of Congress makes a profound difference in bringing information to the Congress and to the American people. We conservatively estimate that our cataloging services alone save the nation's libraries $352 million annually. (Chart #2)

The Library of Congress alone has done half of all the film preservation ever done in America—and nearly half of all preservation microfilming. The Library of Congress annually answers some 2 million reference inquiries from around the country and 500,000 copyright inquiries.

Other current programs of the Library show what can be done for the nation at very little cost to share our incomparable resources.

Last year we discussed how we can bring the Library's resources as well as the bibliographical record to schools and libraries through our multi-media American Memory project. This project is on schedule; it is attracting substantial private support thanks to the support and vote of confidence provided last year by the Congress. This library truly is the American Memory.

The Library contributed an outstanding exhibition, "To Make All Laws: The Congress of the United States, 1789–1989," for the Bicentennial of the Congress. We also organized a traveling exhibition which is now crossing the United States to 31 sites. Our Educators' Institute brought school teachers and librarians from some 21 states to Washington last summer to study the Congress; later, they shared what they learned with other teachers and librarians in the localities where the exhibit will be shown. One of the participants, a teacher from South Dakota, told her local newspaper, "I feel like I went to Washington, D.C., and somebody gave me a blood transfusion. I hope the kids get excited, and get an opportunity to see our government in action."

The exhibition catalog was a popular, illustrated and highly acclaimed history of the Congress, written by the chief of the Library's Manuscript Division, James Hutson, a prominent American historian. The book has received fine reviews.

Houghton Mifflin will publish a hardback edition for secondary schools with an introduction by former Speaker O'Neill.

At a time when Eastern Europe is trying to organize free legislatures as the cornerstones of new democracies, public attention to the history of our own national legislature has special relevance.

One of the Congressional Research Service's contributions to the Bicentennial of Congress was another book—a book of quotations—"Respectfully Quoted," compiled by Suzy Platt and published by the Government Printing Office. It received high praise from book reviewers and was out of print in 7 months. GPO has gone back to press with the publication and has back orders for 900 copies.

Another new exciting national initiative this year which has had exciting results is the Library's pilot program putting on-line 14 libraries of all types from all parts of this country to its machine-readable bibliographic and other files. Even in the early phase of the program, we are finding active use of the files and an enthusiastic response from the participants. Many of the libraries have launched publicity campaigns to let their users know that they can access Library of Congress files electronically through their local library. This effort has cost the Library of Congress very little but is proving highly beneficial to librarians and scholars across the country.

Internationally, too, the Library of Congress is playing a key role in helping reconstruct the library culture of the U.S.S.R.—and make it more supportive of the trends toward democratization and openness—with almost no expenditure of appropriated funds.

THE LIBRARY OF CONGRESS IN THE 21ST CENTURY

Up to now, our government through its national library has been able to sustain a universal collection of knowledge in one place—in almost every format, every language, and every subject. To do otherwise at this point in our nation's history would have a profound effect on the advancement of scholarship in an age crying for excellence. This central knowledge base of more than 90 million items is unique in the world—and utterly irreplaceable. It constitutes the living intellectual core of America's future in this age of information—the nation's knowledge infrastructure. Technology will make it possible for the Library of Congress to become a library without walls. This library will increasingly serve the American people nationwide through a sophisticated network of local libraries which will be the community outlets funneling knowledge from the Library of Congress to local users.

In the 21st Century this Library and other research libraries with important collections will become the engines of increased, knowledge-based productivity in every sector. The Library of Congress will make available electronic surrogates of important selected collections for local use at other research libraries and at educational institutions. This will promote resource sharing.

Proposals in Congress for a high speed, high capacity National Research and Education Network—the so-called computer highway—would greatly facilitate this broadening of access to all our resources. Already, the catalogs of major research libraries throughout the country are part of this network with the Library of Congress. The scientific community is actively creating a system which will enable researchers remotely to access and use data files and libraries, including text, graphic, audio, and video. The proposed single network would fulfill the requirements both of those who create and exchange knowledge and of those who search for information. The Library of Congress could play a major role in helping to make this network an everyday tool of researchers in all sectors of American life in the 21st Century.

ARREARAGES

Putting the world's largest reservoir of human knowledge to good use for the nation is our mission. But it simply will not be possible in the future unless the Library's most basic business—preserving and making available the collections—gains a higher level of support than exists at present.

Prompted by the Appropriation Committees' explicit request during the last two years to itemize what it would take to solve the Library's long-accumulating problems of both preservation and arrearages the Library is developing plans for dealing with these problems step-by-step.

The Library's report on unprocessed arrearages was submitted to this Subcommittee on December 1. (Chart #3) The estimated total costs of fully processing these arrearages are staggering. We are developing pilot programs to test and evaluate different ways to cope with this problem. These pilot programs will emphasize the most economical and least disruptive approach.

Our budget request before you today begins to address the problem. We ask $7.3 million, primarily funds for more processing and cataloging staff, to reduce the growth in arrearages. This is the first step in a phased strategy designed to stop present arrearages and essentially eliminate the backlog by the year 2000.

As you know, I have frequently spoken of getting the champagne out of the bottle—that is, sharing the wealth of the Library's collections with the American people. Processing and cataloging the unique items in our collections—those found only in the Library of Congress—is a major step. We are, for example, requesting funds to process nearly 700,000 items in the National Association for the Advancement of Colored People Archives. These records date from the 1960's to the 1970's and uniquely document the most significant movement toward equality in this nation's recent history. We have already processed some 400,000 items in the collection, principally covering 1919-1959, but we must finish the job—both for its own sake and as a model for processing other similar treasures. This will also give us a better picture of how large collections can be processed with a minimum of staff and other costs. Tackling large special collections will reduce dramatically the number of items in the arrearage as well as make these collections available for scholarly use.

Additional funds are requested to handle currently acquired books, periodicals and special format collections. These collections document the history of civilization with special emphasis on the United States. Many of them are not available elsewhere. As long as they remain unprocessed they cannot be used, their security is endangered, and their preservation is delayed.

In addition to making the material known and accessible to scholars, the processing of large collections allows us to weed out unnecessary items, thus reducing both the size of the collection. (Chart #4)

PRESERVATION

The preservation of our collections has been a major priority. We have previously discussed at length with you our preservation objectives.

To maintain the momentum built up over the last several years, an increase of $1 million is requested to provide funding for the photonegative project approved in the 1990 budget, for increased microfilming costs, for the replacement of outmoded scientific equipment, and for additional staff for the book repair unit of the Binding Office. The fiscal 1991 request for the book repair unit would allow us to more than double the number of books repaired and made ready for mass deacidification.

OVERSEAS ACQUISITIONS

The 1991 budget also includes $1 million which enhance our ability to collect materials from overseas field offices. We are seeking appropriations to support new overseas collection facilities in Central America and West Africa. These offices promise considerable savings for the Library by purchasing at local prices, selecting on the spot, and employing local staff to process the material.

ANALYSIS AND INFORMATION ON JAPAN

In response to growing Congressional interest in Japan, the 1991 budget request contains new initiatives to increase the depth and breadth of policy analysis and research on issues related to United States-Japan relations, and to improve Congressional access to information and expertise on Japan. Funds for these initiatives are requested in the Congressional Research Service budget, in Collections Services, and in the Optical Disk request.

CONSTITUENT SERVICES

The reopening of the Main Reading Room during this calendar year means that unfunded positions in Constituent Services must be funded in order to provide adequate service to readers. This magnificent room in newly furnished and restored quarters with nearly 300 reader seats and sixty new workstations in the computer catalog center is reason for great celebration. In many ways, the Main Reading Room is the symbol of this nation's commitment to learning as the basis for democracy. The Congress of the United States can take full credit for this great contribution to scholarship. I hope each of you will have an opportunity to see the newly restored Main Reading Room here on Capitol Hill prior to its public opening. We are requesting $2 million for Constituent Services including funding for 21 positions.

LAW LIBRARY

The Law Library has increasingly become important to Congress and the executive and judicial branches in interpreting foreign laws during a period of great international change. We are requesting $0.7 million to provide timely legal reference, research and analysis on the laws of the nations of the world as well as to contribute to the acquisition of materials and their more timely processing and maintenance. As an example of the value of these services to our nation, the Hispanic legal specialist in the Law Library briefed the Departments of State and of Justice during the recent activities in Panama.

SECONDARY STORAGE FACILITY

Because stack space in the Library will reach its maximum practical capacity by the end of fiscal 1992, I am again requesting funds—$5.4 million—for a secondary storage facility. Funds are needed in 1991 because of lead time required to acquire and furnish the facility. Reducing unprocessed arrearages will increase the number of books and other library items to be shelved making the need for additional space acute. Unless additional storage space is available, it will be impossible to provide satisfactory reader service and adequate preservation of the collections. The facility would have a capacity of 3 million volumes. It would provide for expansion of the collections for the next decade. Such a facility is essential for our priority task of addressing the arrearage. Unless we have the necessary space to process the arrearage, we cannot begin a serious attack on the problem.

MANDATORY PAYMENTS

Two items which affect the overall performance of the Library are mandatory payments and staff development. Approximately 28 percent of the total increase requested for fiscal 1991, or $16.4 million, is for mandatory pay related items. The Library's 1990 appropriation requires us to absorb $10.9 million out of a total of $16.1 million in mandatory pay increases. The practice of not fully funding the Library's mandatory payments has resulted in a steady erosion of the number of Library staff. The Library had 4,883 employees paid for by appropriated funds in fiscal 1984. The comparable figure today is 4,408, a decrease of 475 staff members. More than 13 out of 100 authorized positions now have to be left vacant—last year's lapse rate was 10 percent. The result is an unacceptable deterioration of service in all of the Library's programs and services. If this trend continues, we will have to curtail services and stop collecting in some vital areas.

STAFF DEVELOPMENT

To provide the best possible service to the Congress and the nation, we must provide opportunities for the Library's staff members to master an ever widening range of skills and realize their own highest potential. Our management review pointed to this practical need. In the information age the Library of Congress requires a wide range of technical and linguistic skills. Its employees need training and re-training—especially to make possible advancement for more minorities from the sub-professional to professional categories.

Yet training funds are far below the amounts routinely available to other government agencies—and totally inadequate for the complex tasks the Library performs as well as our affirmative action needs. We also need to reward outstanding performance, yet the Library has no current budget base for performance awards. The 1991 budget includes a request of $3.2 million for funds for affirmative action, staff development and the recognition of outstanding staff members through appropriate monetary rewards.

MANAGEMENT SUPPORT AND AUTOMATION

To improve the Library's management support and automation services, we are requesting an increase of $7.9 million.

At my first hearing as Librarian two years ago, I said I was requesting an audit of the Library by the General Accounting Office. GAO auditors have been on-site at the Library since 1988. After this budget was prepared, I received a briefing from GAO on the preliminary results of their audit. Our own review process had pointed to the need for fundamental improvements in the financial management area. Our proposed fiscal 1991 budget includes resources for this purpose, and the GAO's findings further underscore the need to improve the Library's accounting records and accounting system. Following receipt of the final GAO report, we will reassess our current improvement efforts and determine if any additional resources are necessary.

In this budget request we are requesting six new positions for financial management to provide adequate accounting services across the board in the Library, including an evaluation of our internal controls.

Giving high priority to Library automation was recommended during our strategic planning process to modernize outdated systems. Among other things, this modernization will allow us to utilize Copyright records in cataloging certain special collections, thus stemming the growth in our arrearages and avoiding additional costs. In addition, increases in this budget are for continued growth and support of the Library's telecommunications infrastructure.

As an example of how automation has had an impact on productivity, I am happy to report that implementation of the optical disk program for CRS' Selective Dissemination of Information (SDI), which is built on the Library pilot program started in fiscal 1985, is well underway. It is already helping us respond in a much more timely manner to Congressional requests than was possible using paper and microfiche. Some expansion of the system is requested in 1991 to increase the number and types of documents included, with emphasis on Japan information.

COPYRIGHT OFFICE

There has been a significant reduction in positions in the Copyright Office during the last several years even as registrations have reached an all time high. New positions are needed to handle a backlog and to keep registrations current. A fee increase has passed the House of Representatives and is pending in the Senate. We are requesting an increase of $5.7 million. Anticipated increased receipts would offset the funds requested for the new positions and for converting the copyright catalog to machine readable form.

CONGRESSIONAL RESEARCH SERVICE

We are requesting an increase of $7.7 million for the Congressional Research Service for mandatory costs and staff development, funding for unfinanced positions, and to improve Congressional information and research on Japan. Mr. Ross will speak to the CRS request.

NATIONAL LIBRARY SERVICE FOR THE BLIND AND PHYSICALLY HANDICAPPED

The requested increase of $5.1 million for the National Library Service for the Blind and Physically Handicapped is to maintain the program at 1990 levels.

PRIVATE SECTOR EFFORTS

I know that this Subcommittee has been interested in the Library's efforts to obtain private sector support for some of its external programs. In January, we brought together for the first time our newly established James Madison National Council, whose members have already made financial contributions to the Library. They spent a day being introduced to our programs and seeing first-hand the crown jewels in our collections. We also received a gift of $1 million from the International Cultural Society of Korea marking the occasion of the U.S. Congressional Bicentennial and the beginning of the Library's own project to celebrate its 200th birthday. The gift will help enhance our Asian collections with special attention to our Korean books, manuscripts, and periodicals—now the largest collection of Korean materials outside Korea.

Private sector support is designed to cover outreach activities and perhaps eventually to generate some of the kind of patronage that the Library of Congress has not had in decades. However, such support will never eliminate the need to fund the basic management and service functions of the Library. Indeed, the constancy of Congressional support has been the most important selling point in our recently successful efforts to increase private funding.

CONCLUSION

In conclusion, Mr. Chairman and Members of the Committee, I want you to know that I realize that we are not asking for routine increases in the Library of Congress budget for fiscal 1991.

However, to repeat, we are at a crossroads in our history. I cannot in good conscience fail to present to you what I consider to be the essential needs of the Library of Congress. We must meet the collections and services responsibilities of the 1990's as well as remedy the basic internal problems that confront our managers. We cannot let erosion continue. We must have a healthy base on which we can build for the future.

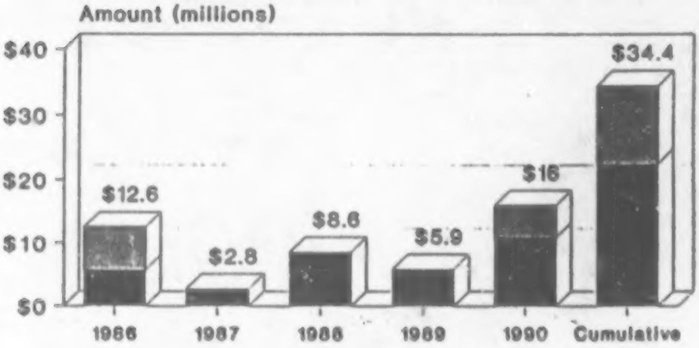
We know what we have to do. With adequate funding we can chart the course of the Library of Congress as it has been set forth in our external and internal reviews and in our testimony before Congress.

The Library of Congress is a unique national institution which, thanks to Congress, no other nation in the world has been able to equal. In an age in which every individual is information dependent, the Library is quite simply one of America's greatest national resources. This nation's library must continue to grow. Excellence in education, in research, in corporate enterprise depends upon resources of knowledge and information being made available to inquiring minds. We all know this. We need increased financial resources to establish a solid foundation for knowledge and learning in America as we move into our third century.

My colleagues and I will be pleased to respond to your questions.

Chart 1

LIBRARY OF CONGRESS
Pay Absorptions and Sequestrations



	1986	1987	1988	1989	1990	Cumulative
Sequestrations	$6.8	$0	$0	$0	$5.1	$11.9
Pay Absorptions	$5.8	$2.8	$8.6	$5.9	$10.9	$22.5

Fiscal Year

▆ Pay Absorptions ▨ Sequestrations

Cumulative is net of catch up amounts

Chart 2

Library of Congress
Estimated Dollar Savings to the Nation's Libraries as a result of Library of Congress Cataloging

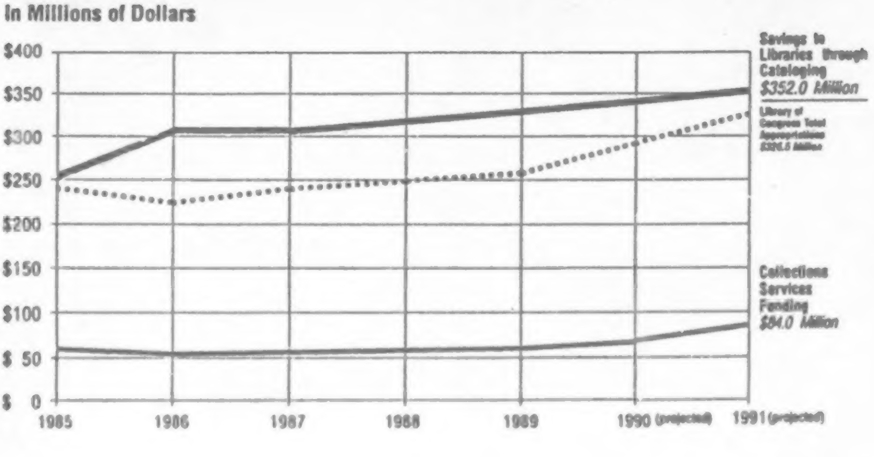
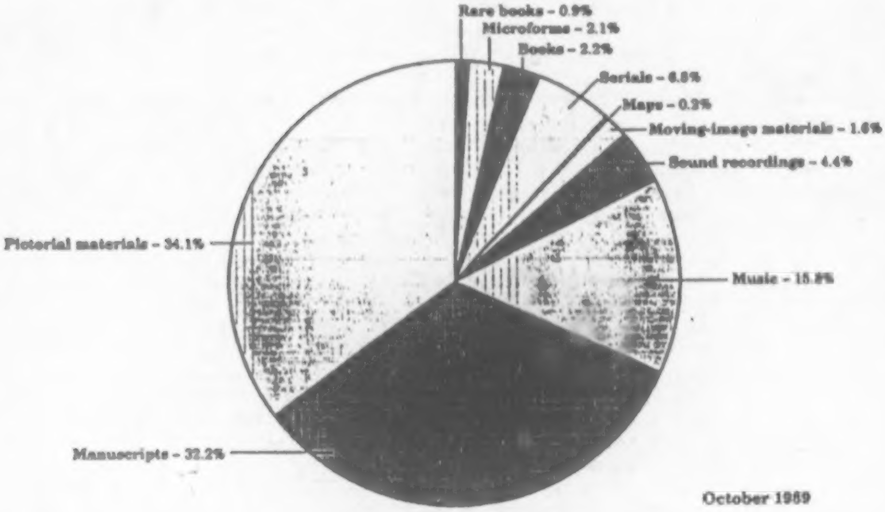


Chart 3

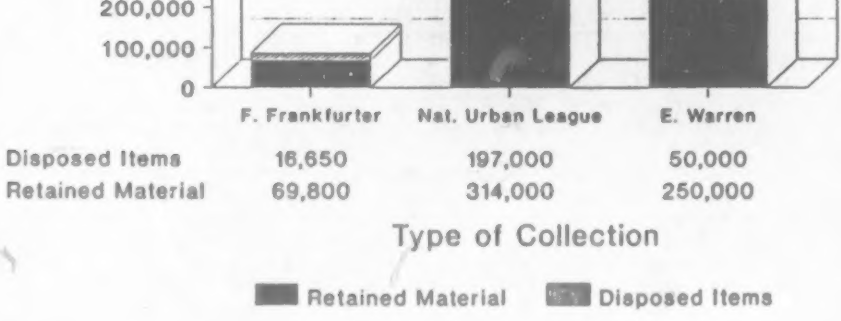
COMPOSITION OF THE UNPROCESSED ARREARAGES
Percentage of Total Items



October 1989

Chart 4

LIBRARY OF CONGRESS
Results of Processing Arrearage



	F. Frankfurter	Nat. Urban League	E. Warren
Disposed Items	16,650	197,000	50,000
Retained Material	69,800	314,000	250,000

Source: Library of Congress Archives

ADDITIONAL PREPARED STATEMENTS

Senator Reid. We will make part of the record the statement of Joseph E. Ross, the Director of the Congressional Research Service, and the statement of the Register of Copyrights, Ralph Oman.

[The statements follow:]

Statement of Joseph E. Ross

Mr. Chairman and Members of the Subcommittee: I am very pleased to appear before you to present the fiscal 1991 budget request for the Congressional Research Service. We are requesting a total of $53,706,000, which is an increase of 16.6 percent over fiscal 1990.

More than 60 percent of the increases in fiscal 1991 is for mandatory items. Full funding for required benefit and pay costs is critical to our ability to maintain current services without serious deterioration. Currently, the lapse between funding and costs for positions is more than 10 percent—requiring us to leave one in ten positions vacant. This number will increase if the mandatory items are not fully funded, resulting in an unavoidable reduction in services to Congress.

We are also requesting funding to fill 28 positions, one-third of the current vacancies. Over the last two years workload has increased thirteen percent—and the 8 percent increase in the first quarter of this year tells us that the trend continues. At the same time the number of filled positions has declined due to absorption of mandated pay raises. While we have been able to minimize the effect through improved productivity, greater use of prepared materials, and reassignment of staff, prolonged understaffing is eroding our institutional capacity to serve Congress. Turnaround time on even simple reference requests is unacceptably high for much of the year, and gets worse between January and April. Moreover, we do not have the staff to adequately track all of the public policy issues in-depth, or to the provide all of the close committee support requested.

Unfortunately, when we cannot fill vacancies we cannot continue our heretofore successful efforts to make our staff more representative of the nation's racial, ethnic and cultural diversity. We have worked very hard to make the Graduate Recruit and Graduate Cooperative Education Programs effective, and have developed a strong recruiting network. As of the end of fiscal 1989, 17 participants in these programs have been placed in permanent positions, 14 of them are minorities. We need funding to fill jobs if we are to meet congressional demand for research and analysis, and to avoid jeopardizing affirmative action efforts.

Our request also contains two new initiatives. First, we are requesting funds to improve support to Congress on United States-Japan relations. The request is for substantially increased capacity to conduct policy analysis and research on Japan issues, expansion of the CRS Selective Dissemination of Information (SDI) system to provide better Japan coverage, creation of a policy journal, and support for increased dialog with Congress on Japan issues. The Library's Collections Services and Optical Disk budgets also contain requests to support this activity.

The second initiative in the 1991 request is to provide additional funding for training, career development, and staff recognition. CRS' ability to maintain and improve services to the Congress is wholly dependent upon a motivated, innovative and knowledgeable staff. Present funding for performance awards and for training is significantly below the average for other government agencies; this request is designed to rectify that and build the capacity for future excellence and innovation.

Last year I reported on some actions to improve products, services, research coordination and planning. To continue these efforts, we have undertaken a comprehensive Strategic Management Review to be completed in 1990. CRS embarked on this review in response to two principal concerns. First, Congress has changed over the past 15 years; while CRS has made significant incremental operational changes during this time, we felt the need for a more comprehensive assessment of congressional needs for and uses of research, analysis and general information—and CRS' role in meeting those needs. Second, if assumptions about future difficulties of reducing the Federal budget hold, we believe it prudent to plan for the possibility that CRS' budget could remain relatively constant (in real terms) over the next several years. At the same time, we expect demand for our services and products will increase. In this circumstance, CRS will have to be much more rigorous in setting and enforcing priorities, with the help of our oversight committees, and taking the hard actions to limit and target services. I believe that our Strategic Management Review will help us do this, and to be even more responsive to changes in the Congress, and to direct resources to meet increased congressional demands for in-depth policy analysis and more timely and comprehensive coverage of the broad range of issues facing the Congress.

We have all been operating in a difficult budgetary environment over the past few years. I want to assure you that we have worked very hard to minimize the negative impact of automatic cuts and absorption, and to maintain services to the Congress. This is a significant achievement for CRS staff when you consider that our workload has increased over the same time. I am very proud of the staff and their ability to provide high quality services to Congress in the face of mounting workload. Most of our request this year is aimed at providing the minimum necessary to continue these services, and to maintain our institutional capacity to help the Congress analyze and address the pressing and complex issues of our society. I appreciate the support this committee has provided to CRS in the past, and hope you will be able to provide us with the resources necessary to serve you. I will be happy to answer any questions you may have.

STATEMENT OF RALPH OMAN

Mr. Chairman and members of the Committee, I appreciate the opportunity to speak to the requests for the Copyright Office of the Library of Congress.

Last year the Copyright Office processed more claims to copyright than ever before. Even so, the Office has experienced some difficulty in keeping up with the rising tide of copyright registration claims. We are very proud of our steadily increasing productivity, which we have accomplished through hard work and funding from this Committee for the latest automation equipment. But we are discouraged by the fact that recently the increases in the workload have begun to outpace our productivity increases.

But this year, Mr. Chairman, I really am convinced that we will find some relief. Congress is about to increase the copyright fee from $10 to $20. This increase merely corrects for the rate of inflation that has eroded the dollar since Congress set the current fee back in 1976. We have worked hard, and made important concessions in order to win the support of the copyright industries and individual writers and artists and composers, and the fee increase bill has moved quickly without opposition. The House passed it last October, and the Senate Judiciary Committee is about to report it out.

This increase will generate an additional $7 million in fees, and I hope that you will allow the Copyright Office to use this money to provide better service to the copyright industries. I don't have to tell you, Mr. Chairman, and the members of this Committee, of the importance of the copyright industries. The music and motion picture industries, the publishing industry, the software industry, and the semi-conductor chip industry all contribute a great deal to our national wealth and to our quality of life, and they all rely heavily on the copyright system. A strong copyright system will make it easier for Americans to enforce their rights overseas.

If you increase our budget based on our greatly increased income, we can do an even better job serving the creative people of the United States.

We are asking for 30 new positions to handle the increased workload in the most critical operational functions involved in the processing and recording of copyright registrations.

With the increase in staff, we will reduce the time it takes us to issue a certificate from 9 weeks to 5 weeks. Without the increase, that delay will grow to 12 or 14 weeks, despite the heroic efforts of the Copyright Office staff. Increased delays have a ripple effect that slows us down even further: we get more telephone calls from the general public asking about the status of a claim, and we get more letters of inquiry that we have to answer; with increased delays, we also have more work on hand, which creates space problems, shelving problems, lost copies and applications, security problems, delays in depositing money in the U.S. Treasury, and delays in transferring materials to the Library of Congress collections; finally, increased delays mean that the public will have to wait longer to get access to our cataloging records, which is so important to litigation and the orderly transaction of copyright business. These 30 new positions are vital.

Out of the increased revenues, we are also requesting a one-time appropriation for an important project that has been on hold for ten years: That is, to convert our old-fashioned card catalog to a machine-readable format. The Copyright Office has the world's largest card catalog. It has 45 million 3 by 5 cards in 25,000 trays. These cards represent the public record of copyright registrations from 1870 to 1977, the year we automated the process. The works indexed on those cards still have tremendous economic significance. If we converted it to machine-readable format, it could be accessed from all over the country and processed for sale to the public. It would make the Copyright Office much more efficient, and make the outside users of the system very happy. Moreover, we would recapture 6,000 square feet of space here on Capitol Hill. A total of $2.6 million is requested for this historic conversion.

One last point, Mr. Chairman. This year we reach an important milestone; we celebrate the bicentennial of the first copyright law. We plan a series of special events to be supported by the private sector. All of us hope that you and members of the subcommittee, who support us so generously, will join us far as many of the glittering events as your schedules permit. Thank you Mr. Chairman.

DIFFERENT APPROACH NEEDED

Senator **Reid**. Dr. Billington, in my 8 years here in Washington, being associated with Congress, working for the Congress, I have become a great fan of the Library of Congress. But having said that, I think that we are going to have to try to approach your budget differently than we have in the past.

You are requesting an increase of about $60 million overall for the Library for this next year; $22 million is required just to keep even with salaries, pay costs, and inflation. This request includes about $8.4 million for 280 new positions and about $4.3 million for 131 vacant positions. Last year, we approved 41 positions plus, almost $1 million to finance 73 vacant positions, and you had a total of 496 total vacancies. Now this year your total vacancies are 628.

As the committee approves additional positions for the Library, your vacancy continues to increase. So shouldn't we address your vacant positions first before we consider funding any proposed new positions? Or if new positions take precedence to vacant positions, shouldn't we abolish the vacant positions to offset the cost of the new positions request, since it is clear that we are not going to do both? Otherwise, next year you will be telling us your vacancy has increased even more.

Dr. **Billington**. I think these new positions are important but the major point is that the problem is not whether to exchange new for old positions, but that we simply don't have the money to fund any of the requested positions, whether they are vacant or new positions.

Senator **Reid**. Dr. Billington, let's assume this were a business and we were selling clothes or equipment of some kind. You have to make a decision to either not hire new people period, or if you hire them, you are going to have to say, well, you know, I have done without these for 3 years, I guess we are not going to have those, we are just going to eliminate those positions. We recognize we have a funding problem. We can't continually each year have you come here saying now my vacancies aren't 10, they are 50, and next year they are 80.

Dr. **Billington**. No; I realize that. I just want it to be clear that some of the new positions that we are asking for are not simply exchangeable with the old. They represent new needs. They are a product of the needs that we have been trying to assess and develop in our reorganization and internal study. But we have continuing need for the old positions as well.

We absorbed 16 million dollars' worth of pay raises and sequestrations last year, which is the basic reason for the increased lapse rate. Our lapse rate now is 13 out of 100; but it was 10 out of 100 last year. The proposal that we make would simply get it back to the 10 out of the 100, not back to 4 out of 100, which is what we would ideally like to operate with. So I agree we will have to make those decisions individually, depending on what the committees in their wisdom see fit to give us. But these positions are not exactly the same things nor or are they interchangeable; they are both simply hostage to whatever the funding is.

ARREARAGES DISCUSSED

Senator REID. Dr. Billington, I want to spend a little bit of time with you on chart No. 3, which is the composition of the unprocessed arrearages. In this you have broken down by percentage what is unprocessed at the present time. For example, manuscripts make up over 32 percent, rare books almost 1 percent.

Last year, the conference committee directed the Library to make cataloging of arrearages the highest priority, and at that time we approved 34 authorized vacant positions for that purpose. This year you are requesting 203 positions to stem the growth of the arrearages; not to reduce the arrearages but to stem the growth of arrearages. So it is difficult to envision an issue more critical to the mission of a library, and especially this Library, than reducing the arrearages—I would hope eliminating the arrearages.

Recognizing this, how can you justify spending increases in other areas while arrearages remain unaddressed? For example, you are asking us for money for Mexico and Africa, 10 new positions for Japan, the work we are doing in Japan. It would seem to me that this should be a No. 1 priority, get rid of these. As it has been explained to me, some of these rare books could be ruined forever, the same with anything on here. The longer they are unprocessed, the more likelihood there is that they will be damaged and/or ruined.

So I am asking the question: Should we get rid of these arrearages before we have new programs like the Mexican program, the African program?

Dr. BILLINGTON. I don't think one can really speak of these things being directly competitive. Yes; I think the tackling of the arrearage problem is our highest priority. But it has to be tackled as an integrated program.

For instance, we can't tackle unprocessed arrearages on the accelerated scale we are going to unless we have a secondary storage facility to provide more space to put them. If you are concerned about both tackling the arrearages we have and preventing them from piling up in the future, you want these overseas offices. One of the long-range solutions—as distinguished from the short-range tackling of the accumulated problem, is filtering out materials not really essential to begin with. Our desire is to sustain the universal collection but have more quality collecting up front. One of the greatest advantages of having a collection point in the region where you acquire materials is that you will be able to be more selective right up front, and you won't have as much coming in. That unclogs the whole system, frees up the throughput, and gives you less arrearage building up in the meantime.

Those two requests you mention are not unrelated. The arrearage problem is so central—you are absolutely right. It is the top priority. But it would be a shame to tackle the accumulated problem and not anticipate the problem so it doesn't develop again in the future. If we were simply piling up more things without thinking about the arrearage implications of what we are doing, we will have more problems in the future. We see the overseas offices, for instance, as dealing with the arrearage problem in the long run, just as our pilot program deals with it in the short run.

EMPHASIS SHIFTED

Incidentally, Mr. Chairman, we have now had our final arrearage report. We are shifting some of that money within the $7.3 million from people into binding. Again, because of our integrated pilot plan, there will actually be only 170 rather than 203 positions. And we would hope to shift that money into binding precisely so we can get a higher impact. We have also shifted some of the resources into music and manuscripts where we can get a higher initial return in reducing the overall numbers of arrearage.

It is difficult to say which is more important, preserving or making retrievable the musical scores. We have the world's greatest collection of American music. There is a revival of interest all around. One of the things we found out on our on line project—that is, this electronic hookup with 14 libraries, is that they want scores and materials from the Library of Congress for local symphonies and local bands and orchestras. So how do you balance that against getting fuller knowledge of Japanese technology?

We feel responsible to both constituencies, but, of course, we will adjust and make priorities within those things. They are not strictly competitive. And I do think it is important to see that we have been sensitized to the arrearage problem in our new initiatives as well as others.

For instance, in American Memory, 60 percent of the materials in American Memory are presently uncataloged, so that in the process of producing materials for sharing with other libraries, we will also be reducing the arrearages. Now, that is done very consciously. There is more of a coherent strategy, Mr. Chairman, than may be apparent. We are not going to try to create problems in one area for solutions in another.

Senator Reid. Senator Hatfield.

LAST YEAR'S HEARING RECALLED

Senator Hatfield. Mr. Chairman, I can't help but observe the diligence with which you and Senator Nickles and your very competent staff pursue these hearings, and I am very grateful for the quality of leadership you are giving, and also for the courtesy that you extend to me.

I join the chairman in expressing my very strong commitment to the Library, and would like to pick up on his first question.

To go back and put it into context, Dr. Billington, last year you and I had a little dialog here about personnel. At that time, we were facing a 12.3-percent increase in your budget request over 1989, the major part of which was going to reorganization and personnel. At that time, there were 500 authorized positions unfilled in your organization, 1 out of 10. When I asked that question, you indicated that you were in the process of reorganization which was going to eliminate, as I recall your statement, layers of supervision and review that did not contribute value to the Library.

I asked a question at that time, were the increases that you were asking for going to be based on the current organization, or were you going to do it prospectively on the reorganization plan underway? Your response was: "We are going to have some crosswalking because we are really having to ask these requests on the current organization. But it will be in place by the end of this year"—that being year 1989, calendar.

To follow up on the chairman's question, I would like to ask you if your present analysis of personnel requirements is based upon the new reorganization? Is it in place? And what happened to the removal of layers of supervision and review? Was that not a deductive quantitatively from your levels at that time, assuming absorption and so forth and redefining missions and assignments? But what was the basic personnel level impact between the old organization and the new organization based upon the missions which at that time that you defined?

Dr. BILLINGTON. First of all, the new organization was put into place at the time indicated. All of the top positions have not been filled, but they have all been advertised and many of them have been filled. We have been operating throughout this fiscal year on the new organizational plan.

It has not involved reductions in the number of people; that is to say, we have transferred a number of people into different positions, and that has been a complex problem. We have done a fair amount of that. In some areas there have been fairly large-scale transfers. The national union catalog area, for example. A number of those people have been transferred to new work because of new technologies. Therefore, people have been changed around.

In the Librarian's office, just to begin with my own office, yes, we have eliminated two layers of responsibility. People used to report to me, in all practicality, through an associate librarian and a deputy librarian. Now, the heads of the seven service teams report directly to me, so we have eliminated two layers. We have not reduced the number of people particularly. The purpose was not to eliminate people, but to eliminate what was nonvalue-added layers of supervision, and various reviews or processes that were either superfluous or weren't adding as much value as the persons involved could add to the organization in another capacity.

With a growing lapse rate such as we have, with an overall erosion of basic staff, we have more than enough need for the people who are being moved around. And, of course, the purpose of the organization was not to eliminate people but to maximize the effectiveness of the people.

What we are really trying to do in this organizational change—and the structure is not so important as the change in management culture—is basically to drive responsibility and accountability deeper into the organization, as all efficient organizations in the private sector do, but very few do in the public sector. I think there we are getting a lot of success. We are getting extraordinarily good people not only, I think, running the seven new service units but also very good people with a considerably greater degree of responsibility in a lot of the, so to speak, sub-boxes within those service units.

PAST REORGANIZATIONS RECALLED

Senator HATFIELD. I suppose, Dr. Billington, that some degree of my frustration arises because I was reared in the generation of the Brownlee Commission, the two Hoover commissions on reorganization relating to governmental functions. Each of them touted a reduction in personnel because they saw the need to update, upgrade, to modernize, to remove duplication and overlapping. And each one of those studies of reorganization carried with it a reduction in personnel.

Now, you tell us that there was a 475 erosion between 1984 and 1990. I suppose that any way you look at it, most new technology is able to do far more quantitative work with fewer personnel. I would imagine that cataloging by computer certainly has improved the efficiency of the operation and has reduced the number of people who used to have to type on a little card and put it in a drawer.

So can you ascribe all those 475, showing this alarming erosion, to a lack of appropriation? Or has there been a role of technology displacing some of those 475?

Dr. BILLINGTON. I think that technology has certainly played an important role in permitting us to accommodate with fewer people a steadily increasing workload. But technology is not nearly as extensive as it probably should be in order to do the kinds of things that this Library is really called on to do.

I think the fundamental problem is that this is not an ordinary institution. If you are going to receive 31,000 items a day, whittle it down to 6,000 or 7,000 items a day, and are going to sustain a universal library in all formats of collection. We should be increasing our resources rather than being flat in order to absorb that.

Technology, frankly, has reduced our need to ask for more people, but I think it has not reduced it to the point that we have been forced to by the various sequestration and pay absorptions. Technology is important in how we are planning to deal with the arrearage problem. I might ask Henriette Avram and Mike Shelley, who is head of our special project team on the arrearages, and perhaps Rhoda Canter and Herb Becker who are here from the central management service unit to correct me or to supplement what I am saying here.

Senator REID. Dr. Billington, I don't mean to interrupt Senator Hatfield's answer, but you have to shorten these answers. We are not going to have any time for any questions. Your answers, you belong in the Senate the way you talk.

Dr. BILLINGTON. I am sorry.

Senator HATFIELD. That is a compliment. [Laughter.]

Dr. BILLINGTON. The short answer is that I think that technology has reduced our need to ask for a great many more people than we have, but we ought to have as many people as we had before its advent in order to effectively perform the increased amount of work that we have to do now.

Senator **Reid**. I will just follow up on your question, Senator Hatfield, because your memory is almost perfect—you said last year in answer to a question propounded by Senator Hatfield, "What I can guarantee you is that we will have next year"—you were going to explain this consolidation you were going to do. "What I can guarantee you is that we will have next year a budget that will demonstrate to you that there have been significant economies, and I believe they will continue in the future."

LIBRARY, SMITHSONIAN, ARCHIVES MEETING PROPOSED

Senator **Hatfield**. Mr. Chairman, I am not going to ask any more questions. I would like to just make an observation, though. I think at some point in time we ought to get the Librarian, the head of the Archives, and the Director of the Smithsonian together. I know how things develop, bequeaths and wills when people come into possession of collections and so forth. But I think that we have to redefine the distinctions between an archive that houses collections, sundry things, such as the National Archives and the Smithsonian, and the Library. Whether or not those functions should be found in one institution or the other, I am not prepared to say. But as a layman, I am very concerned about how the institutions of Government tend to grow and expand and not be within parameters of definition to the major mission.

I see the Library of Congress as books, records, manuscripts, film, and so forth. I don't see the Library, frankly, as a repository of artifacts and collections, as historically important as they may be. I see the Archive with a certain distinctive mission. I see the Smithsonian as a certain distinctive mission. And I think that from time to time we ought to review our inventory, so to speak, to see how it has gradually accumulated, diverting us from, maybe, the thrust of the main mission.

Senator **Reid**. Senator Hatfield, I think that that is an excellent suggestion, especially in that the budget request here calls for some $5 million for a new facility to store more stuff. And I would just elaborate a little bit on your statement, and I think we could do this without a formal hearing. Maybe we could meet some time in your office and get the three in and just talk to this generally, and then if any formal testimony needs to be taken, we can do that.

I would also say, Dr. Billington, you know, it is obvious that in the short time you have been at the Library you have great feeling about the institution. That is something that I admire and respect. My dealings with you indicate that you do have this great feeling for the Library. I have it to certainly a lesser degree than Senator Hatfield because he has been at this institution longer and has had more time to develop a strong feeling.

But I am not sure that we are seeing the real mission of the Library fulfilled, and that is having books and other materials available to the Congress and the American public. I think maybe we are spending too much time on being a museum. That is probably not a good term of art, but I think that we need somehow to put first things first, I guess is what I am saying. And I don't have an answer to that. I don't really have a response to that. We are so short of money that maybe it makes it difficult for you to put first things first because you are always—you know, just when you get things worked out, then comes sequestration and bango goes all the people that you wanted to hire to fill those vacant positions.

I would like to spend some time on some somewhat minor things in this multimillion dollar budget, but I——

REPOSITORY OF INFORMATION

Dr. **BILLINGTON**. Could I just say one thing, Mr. Chairman? We are not a museum. We don't collect artifacts. We are a repository of information. One of the exciting things about the Library's potential as distinguished from the other things we have mentioned is that everything we have can be digitized and shared with every other library and school in the Nation. We are not a collection of artifacts of which we can only share pictures of. You can electronically retrieve the Library's information. All of our exhibits insofar as they are done are done with private funds. I don't really believe that we qualify as turning the place into a museum. Whether we are doing these other jobs as well or properly is something that is up for discussion. But I really don't think we collect museum items—we have a couple of items, Stradivarius violins and flutes and things, but they don't really take up a lot of room. We have never—at least while I have been Librarian, to my knowledge—collected anything that could be described as an artifact as distinguished from a container of the kind that Senator Hatfield is suggesting.

Senator **HATFIELD**. Thank you, Mr. Chairman.

I appreciated being here, and I want to show the Librarian that I, like you—am one of his best supporters here.

Mr. Chairman, I appreciate your courtesies. I have only one addendum. This may be also a time when the Archives are in charge of the Presidential libraries. Maybe the Presidential Archives which are now in the Library of Congress ought to be put over there. I don't know. I'm just raising those as examples of how we ought to coordinate our efforts and our work.

Senator **REID**. Dr. Billington, we try for all agencies to keep you on your toes to let you know that we look at everything that you put in your budget. So we are not going to let you off this easy. We want to make sure that we look at everything that you submit.

Could you tell me why you need a computer-assisted system to disassemble and assemble wood and steel furniture systems? Under management services, you are requesting $12,600 for a consultant service to provide for the maintenance of a computer-assisted design and drafting software system, and the services are required to disassemble and assemble wood and steel furniture systems involved in office relocations.

Dr. **BILLINGTON**. We have an awful lot of wood and steel furniture, but I will let Ms. Canter answer.

Ms. **CANTER**. I got lucky on this question.

I realize that it sounds a little ridiculous when you highlight it in the budget like that, but we have a recent procurement which we have just concluded. In assembling wood and steel furniture throughout the Library, we try to match it up to the Madison Building specifically and to the other buildings when we are putting these in. It is a very complex procurement involving lots of different parts which are assembled specifically for the different installations that we do.

I would be happy to get you more information.

Senator **Reid**. We are lucky Proxmire is not here. [Laughter.]

Dr. **Billington**. He is working in the Library of Congress.

ADDITIONAL COMMITTEE QUESTIONS

Senator **Reid**. We have a multitude of other questions. We are going to submit these in writing. The hour is late.

I tell you, Dr. Billington, I am glad that the other agencies that we review their budget are not present because they would learn a lot from you. You sure cut down the number of questions with your answers.

Dr. **Billington**. Sorry.

[The following questions were not asked at the hearing, but were submitted to the Library for response subsequent to the hearing:]

ADDITIONAL COMMITTEE QUESTIONS

Question: Dr. Billington, you are requesting an increase of $59.4 million for fiscal year 1991. $22 million is required just to keep even with salaries/pay costs and inflation. This request includes $8,383,814 for 280 new positions and $4,351,692 for 131 vacant positions. Last year we approved 41 positions plus $904,683 to finance 73 vacant positions and you had 496 total vacancies. Now this year your total vacancies are 628. As the committee approves additional positions for the Library, your vacancy rate increases. So, shouldn't we address your vacant positions first before we consider funding any proposed new positions? If new positions take precedence to vacant positions shouldn't we abolish vacant positions to offset the cost of the new positions request since it is clear we will not be able to fund both? Otherwise, next year you will be telling us your vacancy rate has increased.

Response: Our vacancy rate has increased not because you have approved new positions rather than funding unfinanced positions but because we absorbed mandatory pay raise costs for the last five years and had to absorb two sequestrations. In fiscal year 1990 we have had to absorb $10.9 million of mandatory pay related items and $5.1 million in sequestrations. To cover these costs we have had to increase our lapse rate from an average of 10% throughout the Library to an average of 13% this year. In some areas of the Library the lapse rate is over 20%. Both new positions and unfinanced positions are not filled because of these serious resource constraints.

We have identified in our budget request the unfinanced positions and the new positions we consider most critical to our mission performance for this year. While the skills required for the Library's current priorities take precedence over a number of vacant positions, this situation does not imply that these vacant positions should be abolished or are unimportant. Rather, it reflects the Library's consistent application of position management that has its origins from the budget process. If the committee approves these most critical needs, along with the pay-related mandatories, we will have 497 authorized but vacant positions out of a total of 5,121, returning us to the average lapse rate of 10% we experienced in fiscal year 1989. We recognize that the committee is constrained in funding our positions, but unfortunately the positions are needed.

Question: Will you amplify the direction the Library is going to take as we approach the 21st century? Can we expect to continue to see requests for increases for staffing and funding in the order of 20 to 25 percent?

Response: The Library of Congress is the largest storehouse of knowledge and information in the world.

The age of information , coupled with rapid advances in technology including fiber optics and high speed computers, as well as the U.S.'s ability to maintain competitiveness in the world markets makes the demand for the information contained in the Library of Congress in the next decade and in the new century even more urgent than now. It is estimated today that 50 percent of the U.S. gross national product and 60 percent of the workforce is in the information sector. The global information market is growing at 20 percent a year.

The Library, working with the education and scientific community, will need to put information contained in our collections onto high speed computer highways now being envisioned by the Congress. The success of the Library of Congress's on-line pilot project connecting 14 libraries across the country points to the desire and even the necessity of this information being available for researchers, business and education.

The American Memory is another way in which we can share our collections with citizens through their local libraries. I would see a greater use of interactive technologies in educating our young people to the demands of tomorrow.

I envision the Library of Congress in the 21st century as being accessible to all -- a library without walls.

New technology will enable information brokers such as the Library of Congress to effect economies in doing its business but there is no way to predict the actual resources that will be needed by the Library of Congress in the 21st century. The reason we are requesting a 20.5 percent net increase in fiscal year 1991 appropriations is to catch up after 6 years of decreasing real dollars in appropriations to the Library of Congress. The Library of Congress would not have been able to do what it does today with declining dollars without the technology that has been developed over the last two decades in the Library. The Library will need to continue and expand its investment in technology in future budget requests if we are to achieve our potential as we approach the 21st century. Preliminary estimates for fiscal years 1992 and 1993 are being developed at this time and will be provided to the Committee when they become known.

The question we must ask ourselves is whether we can afford not to arm our citizens with all the knowledge we have if we are to continue to be a prosperous and productive nation.

Question: You are requesting an increase of $1,342,000 under price level changes. The President's budget projects an increase of 4.0% in fiscal year 1991. Is that the figure you used?

Response: No. The Library's price level changes were based on the percentage of increase experienced in each object classification. The Library-wide increase is 3.9% of the base.

Question: You state in your testimony that the Library's absorption of mandatory pay increases has led to a decrease of 475 staff members from comparable 1984 levels. How have these vacant positions been distributed among the Library's responsibilities and services?

Response: The vacant positions are distributed as follows:

			Difference	
Budget Element	FY 1984	FY 1990	Amount	Percent
Preparation of Books	1,211	1,109	-102	-8.4%
Preservation of Materials	108	91	-17	-15,7%
Public Service/Collect Mgmt I .	264	238	-26	-9.8%
Constituent Services	570	459	-111	-19.5%
Cataloging Distribution Serv ..	170	123	-47	-27.6%
Law Library	102	88	-14	-27.6%

			Difference	
Budget Element	FY 1984	FY 1990	Amount	Percent
Cultural Affairs	45	51	+6	+13.3%
American Folklife Center	27	23	-4	-14.8%
Management Services	583	487	-96	-16.5%
Automation	172	201	+29	+16.9%
Office of the Librarian	50	42	-8	-16.0%
Copyright Office	542	539	-3	-0.5%
Congressional Research Service	898	826	-72	-8.0%
Books for the Blind and Physically Handicapped	141	131	-10	-7.1%
Total	4,883	4,408	-475	-9.7%

Note: Fiscal year 1984 has been adjusted to reflect the budget elements in the fiscal year 1991 budget justification.

REORGANIZATION

Question: Dr. Billington, last year as part of the discussion of your reorganization plan for the Library, you told us the new structure would eliminate layers of supervision. How many hierarchical levels were there between the Office of the Librarian and your rank and file workforce and how many are there now?

Response: All of the Associate Librarians are members of a senior management team which makes agency-wide policy. They now report directly to me rather than through The Associate Librarian and The Deputy Librarian, a reduction of two layers. Changes within some service units have, or will, further reduce unnecessary reporting levels. In our Photoduplication Service and Information Technology Services, for example, we are planning to reduce layers of supervision and rely more on team management, as a means of both improving productivity and providing new staff development opportunities.

It is important to note, however, that our intention was to reduce layers of supervision and review that did not add value. Our intention was never to get rid of people or supervisory levels per se, but to assure that all of our people are involved in work that adds value rather than work that simply satisfies the bureaucratic impulse. We also wanted to push authority and accountability to appropriate (usually lower) levels in the organization. In the Law Library, for example, the Law Librarian himself formerly coordinated all multinational requests and approved the assignment of requests to his divisions; now most of the coordination is being accomplished by the foreign legal specialists, and support staff route requests to appropriate divisions. These changes have freed the acting Law Librarian to focus on the supervisory and strategic planning responsibilities that are uniquely his.

Question: Last year, Dr. Billington, you described your budget as a blueprint for a changing agency and, as you will recall, there was considerable discussion of your planned reorganization at the hearings. At that time you stated "that we will have next year a budget that will demonstrate to you that there have been significant economies and I believe they will continue in the future." You have come before us today with a request for a 22% increase totalling $59.4 million and funding for 411 additional staff. Please point out the "significant economies" you have achieved.

Response: In my testimony last year I described not a blueprint for a changing agency but a process of restructuring that involves all of the Library staff and seeks to identify and eliminate activities that do not add value and to replace them with activities that do add value. One of the most significant areas of economy in the budget before you this year is the request for resources to support our efforts to reduce our arrearages. Although we are requesting a significant increase in funding for these activities overall, we have defined specific pilot projects that test new, less labor-intensive procedures to accomplish the work. Our estimate of costs to process the more than 38 million items in the arrearages using current processing methods is approximately $616 million for labor alone. We have prepared a management plan to experiment with new methods that will enable us to reduce the arrearage by some 11 million items - or roughly 30 percent - over the next three years. The increase to the budget for this year related to these experiments is approximately $3 million, and we expect this addition to our base will cover the experiments in the next two years. If we can process 30 percent of the arrearages for $9 million over three years, I am extremely hopeful that we can achieve additional economies and reach our overall arrearages goals by the year 2000.

Question: You have reconfigured the old Research Services and it is now called Constituent Services. Have divisions been transferred out or abolished? How is this reorganization more beneficial to the public? Does Constituent Services provide specialized services to patrons?

Response: The six special collections and two area studies divisions along with the Preservation Office have been transferred to Collections Services. No division was abolished. The National Library Services for the Blind and Physically Handicapped, the Cataloging Distribution Service, and the Federal Library and Information Center Committee have been made a part of Constituent Services.

The primary focus of Constituent Services is on service through reading rooms, lending, reprographics, sales of bibliographic products, sale of publications, reproductions from the collections, and services to the blind and physically handicapped.

This reorganization is more beneficial to the public in that the focus of Constituent Services is more firmly fixed on public.

The philosophy behind the formation of Constituent Services as a Service Unit was to promote the concept of the Library as a major resource within the broader national and international library and information service community, stress cooperative arrangements with other institutions and emphasize what the Library has the unique capabilities to do, and actively market those library services and products which will be the most beneficial to the Library's target constituencies.

ARREARAGES

Question: Last year the Conference Committee directed the Library to make cataloging of the arrearage the highest priority and we approved funding for 34 authorized but vacant positions for that purpose. This year you are requesting 203 positions to stem the growth of the arrearage. How did you establish the number of positions required to stem the growth of the arrearage?

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Response: For each format (e.g., books, manuscripts), this was determined by using the average annual receipts and the per-person productivity of the staff members who process the materials. This permitted computation of the type and number of positions needed to assure zero growth.

Question: What would it take to reduce the arrearage?

Response: The Library has established as its goal the reduction of its arrearages 30 percent by the end of fiscal year 1993 and 80 percent before fiscal 2000. Accomplishing the 80 percent reduction, using current processing practices, would cost an estimated $616 million in labor costs alone. The Library is working energetically to lower these costs and speed its workflows by improving processing efficiency. The fiscal year 1991-1993 arrearage reduction pilot program will test numerous innovative approaches to processing new and arrearage materials. In its fiscal year 1991 budget request the Library seeks an increase of $7.28 million to reduce arrearage growth. By concentrating on formats with low per-item processing costs, the Library expects to be able to make large reductions in the number of unprocessed items and meet its goal for a 30 percent reduction overall.

Question: Would you please explain your request for 118 positions in special collections to reduce the growth of unprocessed arrearages? How many items are in the special collections and how many are in the arrearage?

Response: Today's arrearages are the largest in the Library's history. Recognizing that this situation must be corrected, the Library requests the new positions to process incoming material in order to stop arrearage growth. Staff resources funded for fiscal year 1990 will be far below what is required to stop arrearage growth. Therefore, it is clear that a major increase in processing staff is required to contain the arrearages and to provide intellectual control of the materials acquired. Processing sections in most cases are understaffed for the enormous tasks they must complete.

At the end of fiscal year 1989, the number of items in the special collections totaled 65,998,000, and the number in the arrearages amounted to 33,557,000. A table showing the breakdown of special materials in the arrearages follows:

Goals for arrearage reduction 1991 - 1993

	Items in Arrearage	Reduction Goal	Reduction Percentage	Contribution of initial pilots	Contribution of American Memory	Other reductions
Books	846,000	63,493	7.5	58,561		4,932
Rare books	332,000	40,732	12.3	6,001	2,100	32,631
Serials (pieces)	2,543,000	1,295,100	50.9	9,000		1,286,100
Microforms	791,000	1,500	0.2	1,400		100
"Print" materials, total	4,512,000	1,400,825	31.0	74,962	2,100	1,323,763
Maps	64,000					
Moving-image materials	630,000					
Sound recordings	1,671,000	9,727	1.6	26,000	4,000	N.A.*
Manuscripts	12,255,000	6,694,479	54.6	600,000		6,094,479
Music	5,994,000	2,002,155	33.4		24,000	1,978,155
Pictorial materials	12,943,000	1,173,358	9.5	40,000	31,228	1,152,130
Special materials, total	33,557,000	9,879,719	29.4	666,000	59,228	9,154,491
Total items	38,069,000	11,280,544	29.6	740,962	61,328	10,478,254

* Contribution of pilots and American Memory exceeds the reduction goal

Question: What other alternatives to increasing your staff have you considered in your plan for reducing this arrearage?

Response: The Library will conduct a series of varied pilot projects to test and evaluate ways of increasing its processing efficiency. These include using cataloging input to bibliographic utilities (OCLC, RLIN) by other libraries, using library technicians to perform work previously done only by professional staff, and processing certain materials as groups rather than individual items. Careful reviews of processing requirements and procedures are expected to yield additional efficiencies, as will improvements in the application of automation technologies. Given the nature of processing work, progress will be incremental and innovative measures will not preclude a need for additional staff to meet the Library's arrearage reduction goals.

Question: An important approach to reducing the growth of arrearages is through cooperative efforts with other large research libraries. What is the Library doing to work with United States research institutions to cut down on cataloging costs?

Response: Collections Services has had in effect for the past several years three cooperative endeavors with other research libraries. The result is that by accepting the work completed by others time is saved by the Library's own cataloging staff to work on other titles.

1) **CONSER.** The CONSER (Cooperative Online Serials) Program involves the creation in the OCLC (Online Computer Library Center) database of machine-readable records for serially issued publications. These records are created by the approximately 25 participants in the CONSER Program. Each participant has agreed to follow specified standards and guidelines for the creation of the records, thus facilitating the use of those records by other institutions. Within the Library of Congress, the Serial Record Division makes use of existing records for almost 50 percent of its cataloging for the Library's collections. Once CONSER records on the OCLC database have been authenticated, i.e., approved, they are added to the Library's on-line files. At the end of fiscal year 1989, the CONSER database consisted of almost 470,000 records, of which almost 42,000 had been created during that fiscal year.

2) **NACO.** The NACO (National Coordinated Cataloging Operations) involves the creation for the national name authority file residing in the Library of Congress of name and series authority records.[1] The records are created by the approximately 50 participants in the NACO Program. Each participant receives intensive training at the Library in both the technical cataloging and machine input aspects of creating the records. Although the program began with manual creation of records on worksheets for input to machine-readable form at the Library of Congress, the program is converting to machine input by each participant to either OCLC or RLIN (Research Libraries Information Network) and

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[1] An authority record specifies the uniform heading to be used for all persons, corporate bodies, jurisdictions, series, etc., used in the creation of
cataloging records representing items in all forms of materials.

transmission to the Library through the LSF-A[1] application. Name authority records thus created are available for use by other institutions in each system or to institutions subscribing to the Library's MARC Distribution Service - Name Authorities on tape. At the end of fiscal year 1989 the Library's name authority file contained over 375,000 NACO-contributed records, of which approximately 60,000 were created during that fiscal year.

3) NCCP. The NCCP (National Coordinated Cataloging Program), Pilot Project, involves the cataloging and input to the Library of Congress's database of bibliographic records for materials being currently cataloged by the eight participating research libraries. Each participant received intensive training at the Library in the technical details of both descriptive and subject cataloging and the input of machine-readable records to create national-level records for book materials. Records created on the file are used by the Library of Congress when items are received for addition to the Library's own collections. Since the beginning of the pilot project in April, 1988, around 40 percent of the approximately 8,000 records created have been used by the Library. Plans are currently being made to add eight additional participants to the program, for which the Library is requesting an additional two positions to administer their participation in fiscal year 1991.

As a by product of each of these programs, by accepting the records created by other libraries at the level expected of the Library's own staff, staff time is released to be spent in the cataloging of additional items.

Question: What is the current processing rate to work off the NAACP arrearages? How many positions are assigned to this project? What effect will the new positions have on this work? How long will it take to process this collection?

Response: Currently two people are assigned to NAACP, a GS-12 archivist and a GS-6 technician. They receive occasional assistance from others.

The current processing rate is 100,000 items per year. The addition of four new positions will bring the total processing rate to 300,000 items per year once the new staff have been trained.

Four additional positions (the fifth goes to Motion Picture, Broadcasting and Recorded Sound Division) would allow the Manuscript Division to eliminate the current arrearage in approximately two years. However, material continues to come into this collection. When the current arrearage has been brought under control, attention can be shifted to (1) keeping current with incoming materials, and (2) processing the NAACP Legal Defense and Education Fund materials, which have just begun to come into the Library.

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[1] LAP-A (Linked Systems Project-Authorities) application is a computer-to-computer hookup between OCLC and RLIN and the Library of Congress whereby authority records input to OCLC or RLIN are contributed to the Library's name authority file and records. The records input to either system are distributed through the link to the other and records input at the Library are distributed to both.

PURCHASE OF BOOKS

Question: The Library acquires materials through the copyright process, exchange, gift, transfer, and purchase. Under Collections Services, you are requesting $7,023,000 for the purchase of books. Approximately how many books will this provide? Is this primarily for foreign material?

Response: In fiscal year 1989 the average price per piece for all categories of materials in both GENPAC and Law allotments was $7.61. If we purchased materials in the same categories during fiscal 1991 for $7 million with an inflationary increase of 1.49 percent, at an average cost of $7.72 per piece, we would be able to purchase 906,735 pieces. Approximately 63 percent of our purchases are for foreign materials.

MASS DEACIDIFICATION PROJECT

Question: Dr. Billington, this committee has for several years supported the Library of Congress efforts concerning your Mass Deacidification Project. What is the status of the Deacidification Project? It is the committee's understanding that the Library will be competitively bidding this process. What steps have you taken to assure fair competition between your deacidification process and other non-deacidification processes?

Response: The Texas Alkyls pilot facility was completed in 1989 and safely demonstrated for books and other formats using the diethyl zinc (DEZ) process. The contract with Texas Alkyls, and Akzo Chemicals joint venture, has been closed out. We completed a Scope Book for the design of a DEZ mass deacidification process capable of 1,000,000 books per year.

An exclusive license agreement to pursue the DEZ technology in the private sector has been signed by the Department of Commerce and Akzo Chemicals. The DEZ toxicological studies are completed, with the final report due in June 1990.

We are in the final stages of issuing a Request for Proposals from the preservation industry for mass deacidification of the Library's general and law collections. The specifications, prepared by the Library's Deacidification Project team, were reviewed by both an inside and outside expert panel prior to soliciting proposals in May. The solicitation is performance based to assure open competition from all technologies which demonstrate the capability of safely deacidifying and providing an alkaline buffer on a mass production level.

Peter Johnson, OTA, will chair the Evaluation Panels reviewing resultant proposals.

A contract for mass deacidification will be signed in fiscal year 1991, according to our procurement plan. Assuming one year for the construction (if necessary) and testing of the processing facility, start up level deacidification of the Library's collections will begin in fiscal year 1992.

PREPARATION OF BOOKS

Question: Under the Preparation of Books function, you are requesting $1,849,363 and 16 positions to reduce the growth of the arrearage. Two of those positions requested are to support the National Coordinated Cataloging Project (NCCP). What is the National Coordinated Cataloging Project? What is the current status of this project? What are future plans?

Response: The National Coordinated Cataloging Project (NCCP) has been established for the Library (LC) to receive bibliographic and authority cataloging records from selected research libraries who agree to follow the Library's practices and policies in creating national-level cataloging records. NCCP is administered by a staff on the Library's National Coordinated Cataloging Operations Unit (NACO). NACO was set up in 1977 to assist the Library in building a national database of authority records that could be used by LC and that could also be shared with the Nation's libraries. Today, some 50 libraries participate in the NACO program. Through fiscal year 1989, these libraries have contributed 372,574 authority records, at a saving to LC of 50% per record.)

Currently, NCCP is in the last year of a 2 year pilot to test the premise that such an ambitious cooperative undertaking is viable. Eight research libraries, who submit their contributions using LC terminals installed on site at each institution, are presently involved. Since the pilot began, 8,218 bibliographic records have been contributed. Of that figure, 43% represents items which the Library has acquired and for which it has been able to use NCCP cataloging, thereby saving the Library the cost of cataloging the item. The optimal mechanism for submitting these records will be through the Linked Systems Project (LSP) when the software needed to support the exchange of bibliographic records, referred to as LSP/BA (Linked Systems Project Bibliographic Analysis), is available. (LSP has been operational for approximately four and one-half years for authority records.) Development and implementation of these requirements are underway. Also underway is an evaluation sponsored by the Council on Library Resources. In addition, the Library is conducting its own internal evaluation. Assuming the results of the evaluation are positive, the Library would like to augment the present 8 NCCP libraries by bringing on another 8 libraries in the near future. These additional libraries will increase the number of contributed records by 8,000 annually. Eventually, the Library would like to expand the number of participants to the extent that a total of at least 130,000 records (bibliographic and authority) are contributed to LC annually.

Question: How much has been put into NCCP to date?

Response: The NCCP Pilot was launched in fiscal year 1988. The number of staff which has devoted more or less full-time to the project and to the NACO activities for authority records is estimated to be equivalent to three FTEs at the GS-12 level. Resources expended thus far are as follows:

Hardware	$ 90,672	(for LC terminals and printers loaned to the NCCP libraries)
Telecommunications	126,840	
3 FTEs	136,924	
Total	$354,436	

The Council on Library Resources provided partial support of the pilot in the amount of $76,292. Thus the total spent by LC is $278,144. This amount, however, does not include overhead and the time of staff not solely devoted to cooperative activities.

As indicated above, NCCP is most efficiently operated using LSP. (LSP is the mechanism used to facilitate the electronic exchange of cataloging records between databases. This transfer is accomplished through the application of a set of protocols or technical standards that enable computer-to computer links.) The investment in LSP has had the ultimate aim of supporting the Library's cooperative cataloging programs. Much of the development costs associated with implementing LSP has been borne by grants from the Council on Library Resources. During the past decade, the Council has given $330,270 in funding to support LSP development.

Question: Would you please tell us about the Linked Systems Project?

Response: The Linked Systems Project (LSP) was developed by the library community to enable computer-to-computer linking for the exchange of data among different computer systems. The Library of Congress has been a leader in this undertaking. Through the use of international technical standards adopted to support connecting one computer system to another, the Library's database is electronically linked with those of the Research Libraries Group and OCLC - the nation's two largest computerized files of cataloging data. This connection currently allows the transfer of one type of cataloging data, authority records. Some authority records are now being sent directly from and received into the Library's database using the LSP link, bringing about considerable savings in resources for the Library - time and manpower - and thus costs. Work has begun to complete the next phase of LSP, which will permit the transfer of another type of cataloging data, the bibliographic records, which represent the cataloged items. This expansion of LSP capability will enable records to be searched between systems, retrieved, and then added to a particular database for its use. When this work is completed, the Library will be able more efficiently to take advantage of the cataloging records residing on the RLG and OCLC databases for our cataloging activities. A prime goal is to perform copy cataloging to assist us in reducing our arrearages through the use of records created by other libraries.

CONSTITUENT SERVICES

Question: The Library's Jefferson Building is being renovated, and, as a result, the Main Reading Room has been closed since the end of 1987 with general book and reference services provided in the Adams Building. How does the $2 million increase requested for Constituent Services relate to the reopening of the Main Reading Room in the Jefferson Building?

Response: The total increase requested for all of Constituent Services is $1,990,934. This increase includes 21 new positions and financing for 8 positions which are currently authorized but cannot be filled for lack of funds.

We are asking for $293,341 to allow us to fill 8 previously authorized positions. These eight positions include 5 reference librarians (2 GS-12, 2 GS-11, 1 GS-9) and 3 special searchers (GS-9), who will be used to staff the Main Reading Room when it reopens. During the period when it has been closed for renovation, we have been able to hold these jobs vacant when turnover occurred. Now they must be filled, but the money is not available because of the underfinancing of authorized positions as has been described elsewhere in these hearings. The 21 new positions are not directly related to the opening of the Main Reading Room.

Question: Dr. Billington, this year you have requested $269,126 for 11 new positions (one systems analyst and 10 library technicians) to track the movement of books in the Library's collections to improve their physical security and availability. What system do you currently have to exercise physical control of the collections? How does this system differ from the ACQUIRE Project?

Response: The system the Library currently has to exercise physical control of its collections is part manual and part automated. The classification system is part manual and part automated; the shelflist is manual; and the loan charging system is being automated.

"Collections Control" is an umbrella term referring to the holding, location, and exit control activities performed on the physical materials in the Library's collections.

These eleven positions will improve the Library's ongoing collections control project by expanding our ability to track collections items. They will improve overall security of the collections and will significantly enhance our ability to deliver books to readers by using the online circulation process to:

1) record bibliographic information about material as it is selected for the Library's collections,

2) identify each book removed from the shelf, recording its destination and user, and tracking its movement until it returns to its proper location in the collection.

3) monitor the use of books in the Library for long-term scholars in study facilities and to reference collections.

4) record missing materials discovered through reader requests and inventory procedures and provide library-wide access to information about not-on-shelf items.

The automated systems for collections control and ACQUIRE are not competing but complementary systems. While the collections control system is for monitoring the physical location of the material as it moves within the Library, ACQUIRE will provide control of materials during cataloging and before the book is put on the shelf for service to readers.

FEDERAL LIBRARY AND INFORMATION CENTER COMMITTEE

Question: The Library provides leadership to federal libraries through the Federal Library and Information Center Committee (FLICC). FLICC promotes economical access to information by use of the Federal

Library Information Network (FEDLINK). The Library conducted an investigation into certain apparent abuses of the FEDLINK in 1989. What is the status of this investigation? What reports have been prepared on the investigation? What were the findings? What actions have been taken as a result of the findings?

Response: Investigations conducted by both the Library's Inspector General and the Department of Defense's Inspector General have been completed. Both of these investigations indicated a need to improve the contracting, fiscal and FEDLINK management processes. As a result of those investigations, we have taken the following steps:

1. Corrections Made in the Contracting Process
   Full solicitations were issued for FY90 services.
   Basic Ordering Agreements and contracts were improved for FY90.
   FEDLINK Purchase/Delivery Orders are issued in all cases.
   Quarterly reports are required from vendors.
   Direct-pay agencies now send delivery orders through the Library.

2. Corrections Made in the Fiscal Process
   Fiscal policies are further clarified.
   Delinquent account procedures are established and being enforced.
   FEDLINK has instituted additional invoice vouchering "checks".
   Fiscal expert has been hired for FEDLINK Fiscal Operations.

3. FEDLINK Management Improvements Made
   Increased communication between FEDLINK and Library management staff has been initiated.
   Additional training has been provided for FEDLINK staff.
   Regular communications with General Services Administration has been initiated.
   Development of program documentation including a detailed FLICC/FEDLINK Policy and Procedures Manual is being completed.

NATIONAL TRANSLATION CENTER

Question: Dr. Billington, last year in your testimony before this committee, you alluded to the fact that the Library of Congress had recently been given the National Translation Center from the University of Chicago. Would you explain what the Center provides? Has the Library consulted with NTIS regarding the scope of its activities and/or transferring the National Translation Center to NTIS? What are the receipts collected and earned by the National Translation Center? How did the Library of Congress acquire the National Translation Center?

Response: The National Translation Center (NTC) is a national depository and referral center for helping users locate unpublished English translations of foreign-language literature in the natural physical, medical and social sciences. The Center is considered to be a valuable national resource which is important in assisting American industry to maintain knowledge of international developments in technology.

The NTC files contain information on the whereabouts of approximately 1,000,000 translations, of which 400,000 full-text translations are held directly by the Center. In a cooperative effort, translations prepared by scientific and professional societies, governmental agencies, special libraries, corporations and other industrial organizations, colleges, universities, and other institutions in the United States are deposited in the Center. It is a cooperative service organization, primarily for the purpose of saving the government and businesses the cost of re-translating materials that have already been translated by other participating organizations.

The Library regularly consulted with NTIS during the period when the NTC transfer was being considered. Both parties agreed that we could perform a better public service by making it a part of the Library of Congress.

Earned income from NTC since it began service in May 1989 was $12,198.89 as of January 31, 1990. In addition, $34,259.20 is held as customer deposits for future orders and work in process.

In June 1988, the University of Chicago decided to discontinue support of the operations of the NTC, effective January 1989, on the basis that the University's focus was science and the NTC was concerned with technology. The operators of the NTC at this time sought a successor organization and contacted the Library. Following a visit of a library team to the University of Chicago to discuss and analyze the proposal, the University offered the assets of the NTC to the Library as a gift. The Librarian advised the Joint Committee on the Library by letter about the proposed gift. Following further negotiations, the formal agreement between the Library of Congress and the University of Chicago was concluded in January 1989, and the transfer was effected.

CATALOGING DISTRIBUTION SERVICE

Question: The Cataloging Distribution Service (CDS) makes available to libraries throughout the world the Library of Congress cataloging of books and other materials. By law, CDS is required to charge for its products a price which will cover their cost plus 10 percent. Why does the Cataloging Distribution Service need an increase of $817,400? How does this increase relate to income projected from the Library's licensing proposal?

Response: The Cataloging Distribution Service (CDS) needs an increase of $817,400 to cover the costs of new and expanding products to be sold to libraries and library vendors. The budget increase is more than offset by the projected increase in earned receipts of $971,000. Neither the budget request nor the earned receipts projection assume implementation of a licensing program in fiscal year 1991. CDS sales of bibliographic products reached $6.2 million in fiscal year 1989. The request for a budget to accommodate $6.6 million in sales projected for fiscal year 1991 is simply a matter of bringing the receipts and budget up to a level consistent with recent experience and our projections for the future.

Current 1990 subscription rates are set on the cost plus 10 percent formula of 2 U.S.C. 150. We have included indirect costs not previously covered in accordance with GAO decision B-237546, issued January 12, 1990.

Our budget for fiscal year 1991, as amended, anticipates sales income of $7,025,000 using the conventional cost plus 10 percent formulation. We anticipate that 70 percent of the total appropriation of $10,051,228 will be recovered. The balance of $3,026,228 (30 percent) is the cost of goods and services produced for use within the Library of Congress.

AMERICAN FOLKLIFE CENTER

Question: What is the status of the American Folklife Center authorization bill?

Response: The American Folklife Center was reauthorized in the fall of 1989. The authorization extends through 1992. The amount requested in the fiscal year 1991 appropriation request is within the authorized ceiling.

Question: What projects is the Center developing in conjunction with the Columbus Quincentenary?

Response: The American Folklife Center, working in conjunction with the Library's coordinator of Quincentenary programs, is working on a field documentation project, an accompanying exhibition, a publication, and a series of scholarly symposia.

The field project is to document contemporary Italian-American cultural traditions in selected communities in the western United States. Italian-American traditions will be documented within the larger cultural context of the American West; the project will pay close attention to the developing and dynamic relationship of the Italian-American culture with neighboring ethnic traditions, regional and occupational traditions, and other factors in the American cultural process.

In 1989, folklorists from the Center carried out intensive research in communities in Nevada, California, and Washington where Italian-Americans have long been influential in the shaping of the local economy and social life. In 1990, similar fieldwork will be carried out in communities in Utah and Colorado.

A major exhibition, tentatively titled "Italian-Americans in the West" is scheduled to open at Washington's Catholic University in 1992 in conjunction with the opening of the University's Italian-American Heritage Center. It is anticipated that the exhibit will subsequently travel to other sites, especially cities in the West. A profusely illustrated book on the same theme will complement the exhibition.

MANAGEMENT SERVICES

Question: You are requesting $402,000 for contract security guards at two off-Capitol Hill locations and 3 unfinanced positions to support the Library security function. The Committee has directed the General Accounting Office to conduct a review of the feasibility of integrating the Library Police with the Capitol Police force. Representatives of the General Accounting Office were present and I asked them to come to the table to present their findings. Dr. Billington, do you have a reaction to what GAO said?

Response: I concur with GAO's recommendations. I agree that any integration of the Library Police with the Capitol Police should be delayed pending resolution of the dual pay and administration systems now present on the Capitol Police force. My first major concern is that any eventual integration ensure fair and equal treatment of members of the Library's Police force. My second major concern is that the Library's security needs are adequately met. We, of course, look forward to working cooperatively with the Senate, the House and GAO in this endeavor.

Question: Under Management Services, you are requesting $12,600 for "consultant services to ... provide for the maintenance of a Computer Assisted Design and Drafting (CADD) software system and the services required to disassemble/assemble wood and steel furniture systems involved in office relocations". Please explain why it is critical to have a computer assisted system to disassemble and assemble wood and steel furniture systems.

Response: To clarify the Library's justification statement, non-personal services are actually required for two separate items; i.e., 1) to provide contract maintenance of our Computer Assisted Design and Drafting (CADD) software system, and 2) to provide for a contractor to disassemble/assemble wood and steel furniture systems as part of the upcoming interim relocations in the Jefferson and Adams Buildings.

Question: Dr. Billington, you are requesting an increase of $233,986 for custodial services to pay contractors to clean the James Madison and John Adams Buildings. Why are the custodial services costs above and beyond the contract price?

Response: The request is to fund additional cleaning tasks in the Madison and Adams Buildings which are not covered by the contract. It is anticipated that much of this cleaning will have to be done on overtime by the contractor to meet the deadlines and not disrupt service to the public.

Question: Would you detail for the Committee the special cleaning tasks that are not covered by the contract?

Response: Special cleaning tasks required in the Madison Building are as follows:

--heavy cleaning of the furniture and furnishings in the cafeteria and other public spaces;

--unscheduled cleaning of areas such as the Montpelier Room prior to and after meetings;

--unscheduled cleaning of the Independence Avenue plaza to respond to complaints about its appearance;

--alternate day cleaning of space which will be converted to general office space to accommodate staff. Because of dislocations caused by renovation the Library will be converting space used for other purposes into office space.

Special cleaning tasks required in the Adams Building are as follows:

--cleaning of additional space during the interim occupancy moves scheduled for fiscal year 1991. Since the interim occupancy moves will occur over several months, the contractor will be required to clean spaces presently occupied as well as to clean and prepare those areas to be occupied;

--space reconfigurations in the building will result in some office space becoming reading room space. Public reading room spaces require more frequent cleaning than do general office spaces.

Question: Who is the contractor for these services? When was an award made to this contractor and what is the term of the contact?

Response: The custodial services contract was awarded to Asset Building Services in July 1989, as a result of the competitive bid process. The contract is renewable for three years subject to the availability of funds and satisfactory contractor performance.

NATIONAL FINANCE CENTER

Question: What is the status of the conversion to the National Finance Center?

Response: We have installed and are currently testing all equipment and telecommunications for timekeeping and personnel/payroll processing. Timekeeping training was completed March 30, 1990. Personnel/Payroll training began May 7, 1990, followed by parallel testing, which was completed June 15, 1990. To date we are on target for all of the above areas. We are in the process of finalizing our accounting requirements to USDA.

Question: Do you have a project plan for conversion?

Response: Yes.

Question: Are you saving money by conversion to the National Finance Center?

Response: We project a cost avoidance of $2 million for the Library's Human Resource Project alone that was under development. We will continue to monitor the project for long-term savings (cost avoidance), and plan to provide the General Accounting Office with an updated calculation.

Question: If not, why not?

Response: The cost of conversion will be offset by our current operating costs. The real savings are from avoiding the significant automated maintenance costs that result from statutory changes or regular updates.

Question: What is the total cost of conversion to the National Finance Center?

Response: We project the costs to be $1,109,000.

Question: Provide a detailed listing of those costs.

Response:

Equipment, software, telecommunications	$ 285,000
Conversion - NFC	$ 300,000
Conversion Project Team	$ 516,000
OPM closeout of retirement records	$ 8,000
Total	$1,109,000

Question: Did you perform a cost benefit analysis before making a decision to go to the National Finance Center? If so, please provide a copy to the committee.

Response: Yes, a cost benefit analysis was prepared. The analysis was reviewed by GAO and is currently being updated. A copy will be provided to the committee.

Question: What are your current personnel/payroll costs per staff member?

Response: The estimated current costs per staff member are $392.00. This includes staff, computer costs, materials and equipment. However, the current payroll/personnel systems need to be replaced and the estimated current costs do not include any major systems development costs for developing new systems. Taking into consideration the significant costs involved in replacing the Library's current system, the decision was made to convert to the NFC system.

Question: What are the costs per staff member, including reimbursement to the National Finance Center and Library costs, after conversion to the National Finance Center?

Response: The estimated future costs per staff member are:

NFC cross-servicing charge for FY 90	$116.00
Telecommunications	3.00
Library	330.00
Total	$449.00

Question: You now have an internal payroll office. Is that true? What will happen to that office after conversion?

Response: Yes, we do have a payroll office. The Payroll Preparation Section will be abolished. Since the NFC system is primarily personnel driven, the function will be the responsibility of the Human Resources Directorate which will receive the applicable positions.

Question: What, if any, internal systems will be eliminated by this conversion?

Response: To date, the following systems will be eliminated:
- Employee Database
- Payroll Database
- Employee Name and Address Database
- Job Classification Database
- Savings Bond File
- Training System

BUILDING RENTAL - OFF CAPITOL HILL

Question: Dr. Billington, under the section on Building Rental Off Capitol Hill, you are requesting $4,926,000 and 17 positions for a remote storage facility off Capitol Hill for books and other library materials. Tell the committee why this facility is needed.

Response: At current rates of growth in its general collections, the Library's stack space will reach its practical capacity by the end of fiscal year 1992. If additional space is not provided, the Library will become unable to provide satisfactory levels of reader service and care for these collections. To prevent this, the Library seeks to establish a Secondary Storage Facility (SSF) to house lesser-used books and serials. The Library would move 250,000 volumes from Capitol Hill to the SSF each year. This number is equivalent to the net annual additions to general collections, and would maintain the need for book storage on Capitol Hill at a constant level. The SSF would provide highly efficient storage and permit quick retrieval for service to Congressional and other readers on Capitol Hill and at the SSF. The requested 17 staff members would select materials for transfer, transport them to the SSF, prepare and maintain computerized inventory records, label and shelve the volumes, and provide service to readers.

Question: Is it possible to retire from the collections in house those items which in effect are inactive?

Response: Categories of less active materials eligible for storage off Capitol Hill have been identified and are described in A PLAN FOR THE LIBRARY OF CONGRESS COLLECTIONS STORAGE FACILITY, dated February 28, 1990.

Question: If so, why would it not be possible to store such items in an even more remote location at some distance from the Library greater than, say, 10 miles?

Response: It is possible to store such items at some distance from the Library's Capitol Hill facilities but any such option must weigh carefully the impacts on service. Factors such as transportation, communications, and environmental concerns, which are all critical to the successful deployment of our collections, must be studied before a decision is made.

Question: Would this reduce requirements for the additional 17 positions since quick access would not be necessary?

Response: This would not reduce the requirements for the additional 17 positions. Work in identifying, preparing, linking, storing and retrieving collections materials is the same for a remote site facility as for a close-in facility.

Question: Has the Library considered warehousing such materials at military bases which might have such storage capacity as a result of reduced operations or those targeted for closure?

Response. Yes.

Question: Please provide the committee a report containing the results of your inventory of active versus inactive materials and your survey of warehousing space potentially available at Department of Defense facilities.

Response: As mentioned above, a plan for identifying and servicing these items to be stored is described in A PLAN FOR THE LIBRARY OF CONGRESS COLLECTIONS STORAGE FACILITY.

The Library has considered facilities coming available as a result of the military base closures and has identified six sites of particular interest as follows: Cameron Station, Va.; Former Nike Site, Aberdeen, Md.; Fort Meade, Md.; Fort Holabird, Md.; Defense Mapping Agency, Herndon, Va.; and Army Reserve Center, Gaithersburg, Md. We are continuing to work with the Office of Real Estate, Army Corps of Engineers, to survey warehousing space potentially available at Department of Defense facilities.

AUTOMATION

Question: You are requesting $980,000 for PC workstation equipment to support reduction of the growth of arrearage. You also state the workstation budget base was developed to support existing requirements for current staff and hence the $980,000 is needed for additional staff to attack the arrearage problem. Since reducing the arrearage is the highest priority in the Library of Congress, why can't funds in the base for ADP workstations for lesser and lower priority purposes for current staff be used for this pressing requirement for higher priority purposes?

Response: The number of computer workstations needed to support the increase in cataloging staff could be purchased from the Library's fiscal year 1991 base. This course of action would adversely impact the Library's other programs, including cataloging. The workstation base is needed to replace obsolete or unusable equipment, to support automation projects for the entire Library, and to support systems development efforts directly related to the arrearage project. Since the Library began purchasing microcomputer workstations in 1985, technology has advanced so much that this early equipment is starting to have limited utility. Therefore, the workstation base is needed to maintain our current automation projects.

OFFICE OF THE LIBRARIAN

Question: Dr. Billington, you are requesting $125,000 for professional and consultant services under the Office of the Librarian for contract auditors. How many auditors do you now have? Explain why the $125,000 is necessary in view of the fact that the General Accounting Office is now completing an audit of the Library.

Response: The General Accounting Office (GAO) audit that was recently completed was limited to the Library of Congress' financial statements. This audit did not include any efficiency, economy or programmatic reviews that are performed by the Inspector General audit staff, which consists of 7 auditors.

The "Task Order" contract will complement the Office of Inspector General by giving it the flexibility to perform high priority special requests when there are sensitive issues (e.g., FEDLINK) or to assign requests to a CPA firm when the issues are not sensitive (e.g., the cafeteria, NLS/BPH) without seriously impacting overall office production.

AMERICAN MEMORY

Question: Last year we approved $963,000 and 17 positions for American Memory. Please bring us up to date on the status of the project.

Response: American Memory positions are integral to the Library's attack on the arrearages. Four positions are in the American Memory office and eleven are in custodial divisions to process collections selected for American Memory. (Note: Sixty percent of selected collections are in arrearages.) Preservation funds dedicated to American Memory will support two positions in the Conservation Office that will prepare American Memory collections for ~~digitizing~~.

Plans for the program call for about a dozen collections to be produced between now and 1992. Examples: Daniel A.P.Murray collection of rare pamphlets by African-American authors,1880-1920; 25,000 photographs of American scenes from the Detroit Publishing Company, ca. 1898-1920; Rare sound recordings of public affairs speeches from 1918-1920, including Senator Henry Cabot Lodge,Presidential candidates Warren Harding and James Cox, Speaker of the House Champ Clark; The papers of music composer Edward MacDowell, 1861-1908; Rare early motion pictures of working Americans from the Paper Print Collection, 1900-1910; and Life History manuscripts from the WPA Federal Writers Projects.

The Library staff have sought advice on the program from outside the Library through surveys of state and research libraries and publishers in the private sector. The Library assembled a group of scholars in June, and will seek the broad advice of all parts of the computer and telecommunications industry. After receiving this advice, the Library will make final plans for the distribution of American Memory to libraries across the nation.

Meanwhile American Memory has begun a series of test and demonstration projects. These will continue through 1992.

Question: How many sites are now operational?

Response: We are beginning a two year period of testing and demonstration of American Memory in a variety of sites.

Phases:

Spring 90 - Initial formative evaluations of prototype collections in three schools.

Fall/Winter 90 - Refined formative tests of new American Memory collections in a modest number of varied sites.

Spring 91 - Demonstrations of several collections in diverse sites and special tests of separate collections in photo, film, etc. libraries.

Fall/Winter 91-92 - True demonstration projects with a "critical mass" of collections in a larger number of sites.

In Spring 1990, the Library is testing prototype collections in three public schools. The tests will provide data on whether the system is reliable, assess general reaction to the system and the ideas that underlie it, and (for the handful of materials ready now) determine the ways in which teachers and students are able to use the contents. The three schools are: Andrew Carnegie Middle School, San Juan (CA) Unified School District; Binghamton High School, Binghamton (NY) City School District; and Oakton High School, Fairfax County (VA) Public Schools.

We also have a prototype American Memory system at the Tech 2000 exhibit at the Tech World complex in downtown Washington, D.C.to obtain reactions to the prototype from a great number of people from all walks of life.

At the Library, there is an American Memory system for guests in the Visitor Services Office and soon there will be one in the Machine-Readable Collections Reading Room.

In June, the next phase of testing will begin at Brigham Young University, Northwestern University, Oklahoma State University, the University of Nevada, the Washoe County Library, Reno, West Virginia University, Willamette University, and the U. S. Naval Academy.

Question: What benefits have occurred as a result of the project so far?

Response: Attracting additional support to the Library - Congressional support for American Memory has attracted additional resources from outside the government. The David and Lucile Packard Foundation of Los Altos, California, has given $300,000 (over a three year period) to underwrite the creation of additional American Memory collections. A large stock donation from Jones International of Englewood, Colorado, is earmarked to assist American Memory planning. Both Apple Computer and International Business Machines (IBM) have donated equipment and in-kind services to aid in American Memory's planning.

Attack on the arrearages - The program not only supports work on unprocessed collections, but contributes new ideas and methods for processing. American Memory spearheaded selection of software for efficient cataloging on personal computers; this software will be of service to the Library generally. The program is also contributing to the refinement of preservation and archival processing. American Memory is a fine laboratory for new ideas in providing better access and improved service. Test site recipients are enthusiastic and we expect good local exposure.

Question: What activities and test sites are planned for Nevada, Oklahoma, and Oregon?

Response: American Memory includes libraries and schools from each of these states in its demonstration program.

The University of Nevada and the Washoe County Library in Reno are participants.

The Oklahoma State University Library in Stillwater is a test site.

The Mark Hatfield Library at Willamette College in Salem, Oregon, is a test site.

Question: What is the prospective annual cost to the Library for the American Memory Project? What will be the cost to participating libraries?

Response: From fiscal year 1990 through fiscal year 1995, American Memory is in a pilot and development phase. The activity is expected to proceed at a constant level of appropriated support during this period, with changes after fiscal year 1991 limited to mandatory and price level increases.

(In thousands of dollars)

	1990	1991	1992	1993	1994
American Memory	$ 963	$1,027	$1,063	$1,100	$1,139
Preservation-American Memory[1]	603	960	994	1,029	1,065[2]
Total	$1,566	$1,987	$2,057	$2,129	$2,204

Throughout this period, the Library will continue to seek non-appropriated support to assist American Memory.

The Library will provide a firm answer to the question about the cost to user libraries at the end of a two year consultation period. During this period, the Library is asking advice from the private sector, the library community, and other interested parties. Already in hand are findings from a survey of state library agencies and members of the Association Research Libraries, and from a Request for Information (RFI) sent to organizations in the private sector.

During the American Memory development period, as advice on distribution is sought and analyzed, the Library will carry out numerous evaluation and demonstration projects in libraries and schools. These projects will be conducted at no cost to participants.

The Library foresees that American Memory collections on disk will cost less that comparable collections in other media. For example, the Library's microfilm edition of the papers of Andrew Jackson is sold to libraries for about $2,000. A collection of about the same size on optical disk would be expected to cost from $200 to $500.

COPYRIGHT OFFICE

Question: What is the status of the Copyright Fees and Technical Amendments Act of 1989?

Response: The Fee Bill was passed in the House of Representatives on October 16, 1989 and passed in the Senate on June 13, 1990. The President signed it on July 3, 1990 (P.L. 101-318).

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[1] Deteriorating negatives and conservation

[2] May be less; deteriorating negatives project to conclude during fiscal year 1994.

Question: You are asking for funds to automate the 45 million items in the card copyright catalog. How long will that take? What will be the total cost? What will be the benefits of this automation?

Response: We estimate that the development of an automated, image-based system to replace the card catalog will require a total of four years. The system we envision, once built, should be capable of enabling conversion of the entire card catalog (scanning and basic indexing) over a period of approximately two years. However, systems analysis, design, development and construction phases must precede the conversion process.

The first phase, a detailed systems analysis and engineering study is estimated to take six months. That study is required to determine the best method of image conversion and storage, the equipment required, and to develop a plan for accomplishing the goal of converting such a large file. The study will examine existing file usage and the benefits of potential file usage. At the conclusion of the study, we will be prepared to present a plan, with detailed estimates, for design and implementation of the new system. It is expected that the design, development, and construction phases will require 1-1/2 years.

We expect the cost of implementing the automated, image-based system to replace the copyright card catalog to be approximately $2.6 million. Our estimates of both cost and schedule are based on our preliminary evaluation of the project and may have to be revised after the initial analysis is complete.

The immediate and tangible benefit that comes with an automated replacement of the copyright card catalog is that over 6,000 square feet of space in the Madison Building will be freed. This space will then be available for staff and work areas to process copyright registrations, which we expect to increase from the present 680,000 to over a million annually within ten years.

The second benefit will be that information about copyright registrations, dating 1870 to 1977, will not be physically confined to a single location within the Library. This information, once captured as images, could be made available electronically to constituents nation-wide. It could supplement the on-line copyright database representing the 6 million registrations from 1978 to the present, which is now for sale to the public. Potential clients include the motion picture industry, which makes heavy use of the card file through search services located in the Washington area, and database service bureaus that have expressed interest in the existing on-line copyright database. Law firms, trade associations, and other organizations are also engaged in using and providing copyright services throughout the United States and would be potential users.

Question: What is the proposed increase in the copyright fee, and what is the status of the legislation to increase the fees?

Response: The basic fee to register a claim will increase from $10.00 to $20.00. The Fee Bill was signed into law on July 3, 1990.

Question: You are requesting 33 new permanent positions for the Copyright Office. Over the past 5 years, how many additional new permanent positions has the Copyright Office been given?

Response: The Congress approved 3 new permanent positions for the Copyright Office Licensing Division over the past five years. They were approved to perform the additional work resulting from a directive from the Copyright Royalty Tribunal to differentiate the annual distribution of cable television royalties into three categories. The entire cost for these three new positions and all other positions in the Licensing Division are completely funded from royalty fees.

No other additional positions have been approved for the Copyright Office for the past ten years.

Question: Provide a table displaying relevant measures of workload over the past five years.

Response: Receipt of Claims for Copyright:

1985	550,000
1986	595,259
1987	606,459
1988	631,243
1989	649,408

Question: Why are you projecting an increase in claims?

Response: In the decade from 1979 to 1989, copyright claims received have risen steadily at 4.6% annually from 426,000 to 649,000. This steady increase continues what has been a historical trend dating back to the turn of the century. When Congress raised the statutory fees in 1965, the increase in claims received halved for the two following years. Based on this historical data, our knowledge of the creative community, our close association with the copyright industry, and the recent passage of the copyright fee bill, which will go into effect on January 3, 1991, we are conservatively estimating a 2 % increase in claims received for fiscal year 1991.

Question: Have you accomplished as much as possible to increase the productivity of your staff? If not, why do you need the 30 additional positions?

Response: The staff and management at the Copyright Office have vigorously sought new ways to increase productivity: we have continually reviewed and revised our procedures; we have introduced automation at every level; and we have, through consultative management, encouraged our creative and dedicated staff to help discover new ways to streamline workflow. However, with rapidly growing workloads and without additional trained staff, the quality of the Copyright Office's service will be adversely impacted in numerous ways if the 30 positions requested are not approved.

Delays in issuing certificates will continue to increase, from the current 8 weeks to 14 weeks. This, in turn, will increase inquiries from the general public and the Congress, will increase correspondence and telephone calls for the Examining Division, will increase time to retrieve records needed for litigation, will increase the number of Special Handling requests, which take resources away from regular workload, and it will add more months to providing access to the on-line catalog of copyright registrations -- the legally-mandated index to registrations, renewals, and documents.

In addition work on hand will increase by over 30% (65,000 additional claims in fiscal year 1991 over fiscal year 1990), creating space and shelving problems, loss of copies and applications, delays in depositing money in the U.S. Treasury, delays in the transfer of funds to the copyright appropriation, and extreme delays in transferring materials selected by the Library for its collections.

Question: How has the implementation of the Berne Convention impacted your operations?

Response: The impact of the U.S. joining the Berne Convention was felt by the Copyright Office in two main areas: training and printing. The professional staff of the Copyright Office attended training sessions on amendments to the copyright law as a result of joining the Berne Union and also studied written material on Berne. Two new circulars were written and distributed to the public: Circular 13, Highlights of U.S. Adherence to the Berne Convention, and Circular 93, The United States Joins the Berne Union, a more detailed circular. In addition many circulars and form letters had to be revised and reprinted.

CONGRESSIONAL RESEARCH SERVICE

Question: Do Congressional district offices have the same access to the services you provide as Washington offices have? What percentage of the requests originate in the district offices?

Response: Congressional district offices have access to all the same services as Washington offices, with the exception of those services offered in person such as seminars. However, we produce audio and videotapes of many seminars so that Members or staff who could not attend in person can watch the seminar at a later date.

Seventeen percent of CRS's requests during the last fiscal year came from district offices. Most of these requests were for background information on public policy issues and legislation, or requests for copies of CRS products; very few requests were placed that required major analytical efforts.

While CRS does not do any casework for congressional offices, we offer two services which are of direct benefit to caseworkers.

> The District/State Institute, offered quarterly, has been developed from recommendations of caseworkers. The first session offers ideas and methods for dealing with casework effectively and efficiently. The second session is a set of roundtable discussions, led by experienced congressional caseworkers, on specific types of cases. Attendees in the past have rated this extremely valuable because it is practical and directly related to their jobs. The third session is geared toward helping caseworkers and project staff find sources of funding, public or private, for supporting district and community initiatives. For both the casework and funding sessions, CRS contracts with specialists for these presentations.
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> In October 1989 a new service was introduced in response to caseworkers' expressed need for current information on executive agencies. The monthly CRS Update,

which is mailed directly to all Washington and district congressional offices, carries a two page article on an agency prepared by that agency. We intend to issue the entire collection of agency papers as a CRS report.

Question: What was the CRS workload for fiscal year 1989? How many requests do you handle from Members and Committees?

Response: Last year CRS cleared 501,546 requests from Members and Committees of Congress, distributed as follows:

Source	Number of Requests	Percent of Total Requests	Number of Hours	Percent of Total Hours
Member	320,831	64%	248,819	46%
Committee	104,828	21%	255,932	47%
Constituent	75,887	15%	37,064	7%
Total	501,546	100%	541,815	100%

Question: What are you doing to develop a recommendation for a Japan Task Force as indicated in the Conference Report for fiscal year 1990 appropriations?

Response: In response to the Conference Report the Director of CRS formed a study group headed by Dr. Robert Sutter, Chief of the CRS Foreign Affairs and National Defense Division, with representation from all parts of the Library having Japanese expertise, to consider and make recommendations on the proposed Japan Task Force. Their report emphasized the strength of existing resources in the Library, with 43 people who speak Japanese fluently and others who can handle the language. It suggests ways in which those resources could be more effectively utilized, and recommended that additional resources be sought in order to provide increased services to Congress. The CRS 1991 request for enhanced analytical and reference capability was based on the group's recommendations.

A Japan Task Force was formed to focus existing Library organizations and resources to monitor, analyze and report to the Congress important developments in Japan bearing on U.S.interests. CRS is taking the lead in this effort, and will integrate appropriate resources throughout the Library. A mechanism within the recently reorganized Library departments already exists for accomplishing this task without requiring the establishment of a separate organizational unit. The Japan Task Force is headed by Dr. Dick Nanto, a senior CRS economist with Japanese language capability. He will knot together the efforts of CRS specialists with the skills and resources throughout the Library to provide an augmented flow of information and analysis to the Congress on US-Japan issues.

In addition, CRS formulated a budget request for fiscal year 1991 to further strengthen the capability to keep the Members and committees informed on US-Japan issues. CRS already provides extensive support for the Congress on Japan issues, with 25 analysts (approximately 6 person-years) working on Japan. The request identifies the resources necessary to provide more extensive and intensive support for the Congress.

Question: Please provide statistics on your workload. How much has your workload changed relative to your staffing over the last few years?

Response: Over the last 2 years, the number of requests has increased 13% and the number of filled positions has declined 5%. During fiscal year 1989 CRS cleared more than 501,000 congressional requests.

Question: You are asking for funds to fill vacancies in fiscal year 1991; what will be the impact of not getting this money?

Response: When a staff member retires or resigns, the need for that position does not evaporate; on the contrary, the demands placed on CRS have continued to increase. In the last two years the number of requests has increased 13% while filled positions has declined 5%. In the short-term we can compensate for a vacancy in a number of ways, depending upon the type of position and workload. One way is to temporarily parcel out some of the functions to other staff in similar positions. If we already have a backlog, it will grow. We can also rotate staff into the vacant position for short periods of time, to shift the backlog. For complex reference and analytical requests, we negotiate with requesters to reduce the scope of a request, and to lengthen delivery schedules.

While necessary, these temporary actions are not good solutions, and therefore we try to fill each critical position as early as the budget will allow. Clients are unhappy when it takes a long time to respond. Reference requests can take two weeks or more to answer - an unacceptable outcome for the requester when a bill is taken up the next day and the Member does not have information he or she needed. With the present vacancy rate we average 2,000-3,000 pending reference requests during the year; this increases during the January-April period. With so many requests pending, Members and congressional staff regularly call back wanting to know where the response is - this consumes more resources to deal with those inquiries, further exacerbating the problem.

Understaffing creates great stress on each CRS staff member who is responsible for his or her own assignment or subject area, but must also troubleshoot on issues which remain uncovered because of vacancies. Over a long period of time, this situation undermines staff effectiveness and productivity. Our strength is in the great knowledge,skill, and resourcefulness of our staff. But if they are to be efficient and effective they need reasonable support ability to schedule and receive required training, and achievable deadlines.

Another highly undesirable impact of having to freeze vacancies for large parts of the fiscal year is that we cannot convert to permanent the talented minority students recruited under the Graduate Recruit Program. We have invested a great deal in recruiting to meet affirmative action objectives, and we have been successful in attracting some of the best students coming out of public policy and library schools. We need to be able to hire some of these applicants in order to maintain our services to Congress. Over the next 15 years, almost 59 percent of CRS staff currently on board will have retired or will be eligible to do so. We must keep recruiting and developing staff now if we are to maintain CRS' institutional capacity to serve Congress after the year 2000.

Question: In general, have you received complaints about the quality, scope, and/or timeliness of the services that CRS provides the Congress? If so, from whom and in what areas?

Response: CRS received relatively few complaints considering the more than half million requests cleared during fiscal year 1989. With regard to the complaints which were received, the greatest frustration was with lack of timeliness and breadth of coverage. Rarely do we receive complaints about bias or omission in CRS analytical products.

During times of severely constrained resources, we tend to receive more complaints which stem from a number of unavoidable circumstances. First, we must leave positions vacant for long periods of time after a staff member retires or resigns; this results in creation of a backlog of requests, particularly for reference. Further exacerbating this problem is severe restriction, because of fiscal constraints, on the use of data bases to conduct thorough and rapid reference searches.

As part of the ongoing CRS Strategic Management Review, we interviewed a random sample of Members, administrative assistants, legislative directors and committee staff. The interviews were designed to gather information on Congress' current and future needs for analysis, information and supportive technology.

Overall, the interviewees expressed almost unanimous respect and appreciation for CRS personnel and services. At the same time, Members and staff suggested some areas where services could be made more responsive to congressional needs. The interviewees consistently identified an information overload in congressional offices. They did not want more information; rather they wanted more focused and concise information and analysis. They wanted easy access to CRS products and staff. Most of all they wanted services to be timely.

Question: Last year the conference agreement included funding for 4 new positions and 26 unfinanced positions for a total of 30 new staff. This year the Congressional Research Service is requesting an increase of $7,661,000, including funds for 19 new permanent positions and 28 unfinanced vacant positions. What possible increase in workload could possibly justify the addition of 77 new positions in the span of two years? What will be the impact of not getting funds to fill the 28 vacant positions?

Response:

What Happened in 1990

During fiscal year 1990 the CRS budget has been adversely affected by a combination of base cuts and requirements to absorb pay raise costs which prevented us from filling the "approved" positions in fiscal year 1990. The following summarizes what happened:

Absorptions and Cuts

GRH/Drug War Assessments	$ 850,000	(Base Cut)
January pay raise	$1,243,300	(Absorbed)
Unfunded Benefits Costs	$ 336,000	(This will increase to $569,068 in 1991)
26 vacancies approved for filling in 1990 were only partially funded	$ 463,362	($410,905 was provided at the outset of the year, but was subsequently wiped out by the base cuts and absorptions)

1991 Request

In fiscal year 1991 CRS is requesting 19 permanent positions. Ten of these are for the new initiatives outlined to support enhanced analysis and information on Japan. The remaining nine positions are not for additional staff, but rather are to allow us to convert currently approved temporary and indefinite positions to permanent. No funding was requested for these positions.

The request to fill vacancies will allow us to fill the positions we could not fill in fiscal year 1990 as noted above. Filling these vacancies will do much to restore the basic support and production activities, and will greatly improve subject coverage in a number of the areas where we currently have gaps.

Question: What kind of results have you had from the Graduate Recruit Program to date?

Response: From 1987 to 1989 we hired 16 permanent staff through the Graduate Recruit, Graduate Cooperative Education and Law Recruit Programs. Thirteen are minorities (8 Blacks, 5 Hispanics). Ten of the 16 are women.

We have developed an excellent recruiting network in the three and a half years since we began these efforts, and this year we received more than 270 applications for the 1990 summer program (we will only be able to hire ten Summer Associates from this group).

BOOKS FOR THE BLIND AND PHYSICALLY HANDICAPPED

Question: What portion of the people eligible for the services of the National Library Service for the Blind and Physically Handicapped do you serve? How many of the various types of machines are in use? How many new machines are distributed each year? How many machines are repaired each year?

Response: There are 3,000,000 people eligible for National Library Service for the Blind and Physically Handicapped services. In fiscal year 1989 a total readership of 712,300 was served.

The total inventory of sound reproduction units assigned to

patrons, or pending assignment, at machine-lending agencies as
December 31, 1989, was:

Cassette-book machines	547,687
Easy cassette-book machines	40,050
Talking-book machines (phonographs)	208,182
Combination cassette/phonograph machines	200
Total	796,119

New machines distributed to patrons vary each year depending upon the number of patrons who come into the program and how many machines are retired from service. From 1985 to 1989 our average annual readership change has been +11,000 -- a total of 44,300. In addition each year approximately 12 percent of our patrons leave the program through death or other causes. New patrons take their place. 1989 NLS/BPH distributed 41,700 new machines.

In fiscal year 1989, a total of 117,100 cassette-books and 38,000 phonograph machines were repaired for reuse in the program.

Question: Provide the Committee with charts or exhibits indicating your relevant measures of workload.

Response: A chart of summary workload follows:

NATIONAL LIBRARY SERVICE FOR THE BLIND AND PHYSICALLY HANDICAPPED

SUMMARY OF WORKLOAD

	FY 1987 Actual	FY 1988 Actual	FY 1989 Actual	FY 1990 Estimate	FY 1991 Estimate
APPROPRIATION	$36,198,000	$36,186,000	$36,474,000	$37,112,000	$42,211,000
TOTAL READERSHIP	691,400	710,500	712,300	717,000	721,700
PERSONNEL	119	119	119	119	119
BOOKS AND MAGAZINES:					
Mass-produced books	2,260	2,476	2,225	2,129	2,180
Mass-produced magazines	67	70	70	70	70
Total copies to libraries	1,769,700	1,916,000	1,795,000	1,741,000	1,775,000
Total volumes circulated	20,275,000	19,742,000	20,214,700	20,619,000	21,000,000
MACHINES PROCURED	60,000	45,000	46,000	60,000	60,000
PER CAPITA STATISTICS:					
Expenditure per capita	$ 52.36	$ 50.93	$ 51.21	$ 51.76	$ 58.49
Copies available per reader	2.6	2.7	2.5	2.4	2.5
Circulation per reader (containers & volumes)	29.3	27.8	28.4	28.8	29.1
EXPENDITURE PERCENTAGES:					
Equipment and books	74.2%	73.0%	72.9%	75.6%	72.8%
Personnel (Compensation & Benefits)	12.2%	12.5%	12.4%	12.6%	12.5%
Support (Publications, research, travel, multistate centers, national bibliographic service)	13.6%	14.5%	14.7%	11.8%	14.7%
TOTAL (percent)	100.0%	100.0%	100.0%	100.0%	100.0%

Question: Does this request meet the demands for the services you provide?

Response: If the request of $5,099,000 is granted, it is anticipated that we can maintain the current level of demand for our service.

The request of a $5,099,000 increase for fiscal year 1991 is the direct result of exigencies experienced over the past five years. Inflation in raw materials, labor and related overhead costs -- combined with dollar/yen fluctuations -- over this period require a base adjustment to maintain the current level of service.

FURNITURE AND FURNISHINGS

Question: Another example in the Furniture and Furnishings account is a request for a $63,300 computerized paper cutter. Please explain why this item is essential to your mission.

Response: The cutter is needed in the Library's Printing and Processing Section to produce various printing products (e.g. newsletters, reports, etc.). This is because some products must be printed on oversized paper and then cut to size or it is cheaper to buy larger rolls of paper. Since the cutter was 15 years old, in need of major repairs and no longer performing efficiently, we asked and the Joint Committee on Printing approved the purchase of a 30 inch cutter in February 1990 (after our fiscal year 1991 budget was submitted). We used fiscal year 1990 funds approved for the purchase of a new collator/binder.

However, we still need a collator/binder. The collator/binder will replace two smaller collator units which are 8 and 11 years old and which experience breakdowns more and more frequently. We are requesting, therefore, that funds be approved for the purchase of the collator/binder. This machine will provide more efficient and faster service by being able to collate the material and bind it in the same operation.

Question: The Library is requesting an increase of $4,518,000 for Furniture and Furnishings. Included in this request is $60,000 for replacement/new purchase of typewriters. With the increased use of PCs and word processing equipment, why is the Library continuing to buy typewriters?

Response: Budgetary constraints prohibit acquisition of the full complement of PCs necessary Library-wide, making typewriter purchases the only available alternative. Additionally, there remain many offices and staff in the Library whose work applications are either more suitable to or economically accommodated by typewriters than by PCs. While the past several years have seen a reduction in the numbers of new typewriter issuances, the typewriter allotment has allowed us to effectively improve the typewriter replacement program with new equipment which is more cost effective than continuing repair of old, failing, and obsolete machines.

Question: Dr. Billington, on page 356 of your justification book, you provide a listing by category of equipment and furniture. Provide a table indicating the inventory of equipment and furniture on hand for each of those categories and the additional equipment and furniture that will be provided by the requested amounts.

Response: The Library does not currently have an equipment and furniture inventory management system, but plans to implement one using bar code labelling techniques in the future as resources permit. Based on GAO and Library estimates, current furniture and serialized equipment holding are valued between $25,000,000 and $30,000,000. A table follows identifying in list format the furniture and equipment requested in fiscal year 1991 by category.

CATEGORY	FY 1991 F&F ADDITIONS
Furniture	Furniture for 118 new positions Health Office redesign Retail Marketing Office Preservation Conference Room Register of Copyright furniture Visitor Services Coordinator Public Events furniture
Workstations	400 chairs 90 mobile computer tables 16 workstations Microcomputer classroom (14 stations)
Partitions	Required for space reconfigurations
Telephone Equipment	300 digital telephones
F&E Overseas	Van (Cairo) 20 air conditioners (Jakarta) Household appliances (Nairobi, Jakarta) 4 file cabinets (Jakarta) Furniture (Rio, Jakarta, Nairobi)
Card Cases	35 card catalog cases
Map Cabinets	127 map cabinets 4 glass negative cabinets
Filing Equipment	150 filing cabinets
Bookcase/shelf Sections	33 bookcases 1767' bookshelves 15 handcranks (motorized shelving)
Book Trucks	158 book trucks
Microfilm Equipment	18 microform reader/printers Document microfilm camera 17 microfilm readers 4 microfiche readers 5 CD-Rom jukebox systems 22 microform cabinets 5 microfiche cabinets

CATEGORY	FY 1991 F&F ADDITIONS
Audio Visual Equipment	Color projection system
	3 video players
	Color image scanner
	3 audio tape players
	CD player
	2 TV monitors
	Interactive video disk training system
	VCR recorder & editor
	Video presentation equipment
Security Equipment	3 video switchers
	13 surveillance cameras
	20 monitors
	12 annunciators
	Event recorder
	3 receivers
	2 motion detectors
	Central radio station
	Zoom lens
	Camera pan & tilt
	Time lapse recorder
	Freeze frame memory
	30 police revolvers
Lockers	56 lockers
Maintenance Equipment	22 trash container trucks
Material Handling Equip.	12 furniture dollies
	4 safety step ladders
M/B/RS Equipment	2 viewing machines
	2 film inspectors
	2 rewind tables
	Laserdisk player & monitor
	Digital cassette video recorder
	Film analyzer
	Quality control equipment
Equipment & Office Mach.	10 deaf telecommunications devices
	Computerized paper cutter
	2 portable photocopiers
	Printing press
	Folder
	Dishwasher
	10 pagers
	7 facsimile transceivers
	30 stamping machines
	String tying machine
	CAD terminal
	Sound level meter
	2 dosimeters
	Xray & VDT monitor
	2 pin label applicators

RESTORATION AND RENOVATION

Question: Is the Library satisfied with the progress of the Restoration and Renovation of the Jefferson and Adams Buildings? Please discuss.

Response: While the project has experienced some delays and inconveniences because of some unforeseen problems and because of the extensive design and construction coordination work necessitated by this complex project, the Library is generally pleased with what has been accomplished. The Architect of the Capitol has substantially completed Phase I construction work and is completing punch lists and final cleanup. In making ready to move into the renovated space, the Library has been preparing and coordinating detailed space occupancy plans; taking necessary furnishings procurement actions; installing the telecommunications backbone wiring system in both buildings; and securing the buildings.

GENERAL ACCOUNTING OFFICE

Accounting and Financial Management Division

STATEMENT OF BRIAN P. CROWLEY, DIRECTOR OF PLANNING AND REPORTING

ACCOMPANIED BY:
MATT SOLOMON
JERRY WALKER

INTRODUCTION OF ASSOCIATES

Senator Reid. We have one other area that we want to cover. We would ask that you direct your attention to the fact that we have—you are requesting $402,000 for contract security guards at two off-Capitol Hill locations and three unfinanced positions for the Library security function. The committee has directed the General Accounting Office to conduct a review of the feasibility of integrating the Library police with the Capitol Police Force. Representatives of the General Accounting Office are present. I will now ask them to come to the table and present their findings.

For the record, would you introduce yourself and your position please and your associates?

Mr. Crowley. Thank you, Mr. Chairman. My name is Brian Crowley. I am the Director of Planning and Reporting for the Accounting and Financial Management Division in GAO. To my immediate right is Matt Solomon, who handles all of our Hill work, and next to him is Jerry Walker who is our director of work that is done up here, plus special studies.

Mr. Chairman, I am going to be very brief since I have sat back here and I have heard your concern this morning. So I am going to learn from that. I will submit my statement for the record and just briefly summarize for you the preliminary results of our work. We have not completed it yet.

POSSIBLE POLICE MERGER REVIEWED

In essence, we have looked at the feasibility of combining the Library of Congress police with the Capitol Police, and we have come up with a number of issues that we think you need to consider before you do that. One of the biggest issues is that, as we told you last week, the Capitol Police operate under a dual pay system and a dual administrative system, and it has a number of problems. We think that probably those problems ought to be addressed before you bring in the Library police with the Capitol Police.

There are four major areas that we looked at; some more serious than others. But one thing you ought to think about also is that the Librarian is statutorily authorized to designate employees as police. So if you do take the Library police and put them in with the Capitol Police, you will have to address that issue as to whether he should continue to have that authority. In any event, I think he should have some input into any decisions regarding protection of the Library and its grounds. You might want to think about putting either him or a representative of his on the Capitol Police Board if the two police forces are consolidated.

Senator **Reid**. I understand.

Mr. **Crowley**. Right now you have the House and Senate Sergeant at Arms, and the Architect of the Capitol on that Board. He needs to have some input as to how protection is going to be provided at the Library. Otherwise, as in anything else, it just won't get the priority.

We noticed from last year's hearing that you were concerned primarily about the cost effectiveness of the Library, and you raised two questions regarding increased staffing, filling of vacancies—the Library was asking to fill 15 vacancies last year—and the training, where they had asked for about $150,000. In both of those areas, we have some suggestions that we would like to offer to the Librarian.

LIBRARY USE OF CAPITOL POLICE TRAINING

One is, that in regard to training, the Library police could make better use of some of the training provided by the Capitol Police right now. They could probably use some of their training more than they do. I know they do use the Federal training facility in Georgia for some of the people that are brought on board that don't have prior police experience. And I know that they use the Capitol Police pistol range. But there may be some other training courses that they could also use since the Capitol Police do have an in-service training program and Library police do not.

CIVILIAN VERSUS POLICE USE

The other factor is the possibility of using civilians instead of uniform police. This has been suggested by Arthur Young & Co. The New York Public Library uses civilians and police to protect their buildings. The Library may be able to save some money that way. Last week, when Milt Socolar testified, he told you that civilians do save a lot of money. He quoted the figures of as much as $20,000 the first year and $10,000 a year after that.

PREPARED STATEMENT

That completes my statement, Mr. Chairman. I hope it was short enough for you.

[The statement follows:]

Statement of Brian P. Crowley

Mr. Chairman and Members of the Subcommittee: I am pleased to present to you the preliminary results of our review of the issues to be considered regarding the possible consolidation of the Library Police Force with the Capitol Police Force. We made the review pursuant to the Senate's report on the fiscal year 1990 Legislative Branch Appropriations bill.

My statement today discusses a number of issues that need to be addressed should a consolidation take place. I would like to point out, however, that the timing of any consolidation is very important. As we stated to the Subcommittee last week, the Capitol Police presently operate under a dual pay and administrative system. Some

Capitol Police are on the House payroll and the rest are on the Senate payroll. There are large differences in the way in which each is administered. In our view, it would be prudent to resolve these differences before consolidating with the Library Police. Regardless of whether a consolidation occurs, we have also identified a number of actions that the Librarian should consider taking to reduce the cost of operating the Library Police.

But before I discuss these issues, I would like to provide some background information.

BACKGROUND

On August 4, 1950, legislation was passed (Public Law 81-659) which authorized the Librarian of Congress to designate employees of the Library as special policemen for duty in connection with the policing of the Library of Congress buildings, grounds, and adjacent streets. This legislation also granted authority to the special police to enforce, and make arrests for, violations of laws and regulations within the Library of Congress' buildings and grounds. Additional legislation approved in 1987 (Public Law 100-135) changed the name of the special police to the Police, and mandated that rank structure and pay for such employees would be made identical to that of the Capitol Police over a four-year period. The Library Police Force currently has 142 authorized positions with an on-board complement of 120 sworn officers.

The much larger Capitol Police is charged with protecting the Congress and its staff, buildings, and visitors and regulating traffic within and around Capitol grounds. It has a current strength of 1,308 employees, of which 1,235 are sworn officers and 73 are civilians.

ISSUES RELATED TO POSSIBLE CONSOLIDATION

We would like to bring to your attention four issues that we believe need to be addressed if a consolidation of the Library and Capitol Police were to take place. These issues concern the Librarian of Congress' authority for protecting the Library, union representation of some Library Police members, compensation and benefits available to the Library Police, and the training of the Library Police.

LIBRARIAN'S AUTHORITY FOR SECURITY

The Librarian of Congress is statutorily authorized to designate employees as police and to prescribe regulations to provide adequate protection of the Library buildings and grounds and of all persons and property within the Library. The Librarian has used the Library Police to provide such protective services since 1950.

If the Library Police were consolidated with the Capitol Police, the question of whether the Librarian should continue to have legal authority to designate employees as police should be addressed.

UNION REPRESENTATION

Library Police privates are represented by union Local 2477 of the American Federation of State, County and Municipal Employees (AFSCME). Neither other Library Police officers nor any of the Capitol Police have union representation. The Counsel to the Capitol Police has taken the position that the Capitol Police Board is legally prohibited from recognizing a collective bargaining unit such as Local 2477 without express authorization from the Congress.

Although all 106 Library Police privates are represented by AFSCME, only about 10 percent are dues-paying members. We do not know whether the privates or AFSCME would take any action to oppose the consolidation if it would mean the loss of recognition of Local 2477 as the collective bargaining unit for the Library Police privates.

COMPENSATION AND BENEFITS

Under the category of compensation and benefits, there are a few issues to consider regarding pay, leave, retirement, and promotion status.

PAY

Presently, Library Police are paid less than Capitol Police of similar rank. This disparity, however, will be eliminated in October 1990, when the Library Police will receive the last pay increase mandated by Public Law 100-135, to achieve pay parity between the two police forces. But one administrative problem remains.

As we testified before this Subcommittee last week at the Capitol Police Board appropriation hearing, the Capitol Police operate under a dual pay system. In the event of a consolidation, it is not clear how a determination would be made regarding which police on the Library payroll would be put on the Senate payroll and which would be placed on the House payroll. This decision would affect how often they are paid, and also has leave and retirement implications as well.

ANNUAL LEAVE

Under current Capitol Police policy, annual leave earned by the Library police cannot be transferred to the Capitol Police, which has a different leave system. Should a consolidation occur, some provision would need to be made to either allow the leave transfer or to make a lump-sum payment for any annual leave accrued. Also, the Capitol Police do not give credit for previous federal service when determining an individual's annual leave accrual category (usually determined on the basis of longevity) unless an exception is authorized by the Capitol Police Board. Most Library Police members are earning more than the minimum annual leave—13 days each year—that they would earn as new Capitol Police Force members.

RETIREMENT

Library Police officers contribute 7 percent of their salaries toward retirement. Capitol Police officers, as congressional employees, contribute an additional one-half percent toward retirement and, as a result, receive an increased annuity. An individual must contribute this extra amount for 5 years before receiving the increased annuity. At least 20 percent of the Library Police will be eligible to apply for retirement within 5 years. If the Library Police were consolidated with the Capitol Police, those Library Police officers who retire before this 5-year period would receive no benefit from an extra one-half percent contribution.

PROMOTION STATUS

Because of complaints regarding the fairness of the Library Police promotion process, an agreement was reached with the complainants in 1982 that no supervisory promotions would be made until a validated selection process was established, and that the promotions would be offered only to Library Police members. The Library Police have not had any supervisory promotions since 1982 because of extensive delays in developing the selection process. Presently, eight supervisory positions have not been filled because of these delays. A determination of whether supervisory vacancies should be filed and by whom should be made prior to a consolidation.

TRAINING

The Library frequently hires individuals with extensive police experience for its police force. If a person does not have sufficient prior police experience, he or she is sent to the Federal Law Enforcement Training Center. But the Library Police do not have an in-service training program. The Capitol Police generally hire younger, less experienced individuals who are all sent to the Training Center. This initial training is then supplemented with in-service training.

Capitol Police officials have stated that they believe the Library Police are not trained as well as the Capitol Police. Therefore, if a consolidation took place, Library Police most likely would not be assigned duties outside the Library until they received appropriate training.

OTHER ISSUES

In reviewing a transcript of the Subcommittee's hearings on the Library for fiscal year 1990, it appeared to us that the Subcommittee was concerned about the cost of maintaining the Library Police, particularly with regard to funds requested to hire additional officers and to train the Library Police. Even without a consolidation of police forces, there are two cost-saving steps the Librarian could consider in an effort to meet security responsibilities which may require less funds than he requested last year.

One such step would be to consider using civilian employees not trained as law enforcement police to perform some duties currently performed by Library Police. In a recent management review of the Library of Congress, Arthur Young and Company recommended that the Library determine if the security function can be most efficiently and effectively performed by police, civilians, or a combination of both. It cited an example where the New York Public Library uses civilians and special police to provide protective services. As discussed before this Subcommittee last week, we believe the use of civilians can result in cost savings.

Second, with regard to training, the Library does not maintain an in-service training program for its police force, and requested additional funds last year to provide training. While the Library does use the pistol qualification course offered by the Capitol Police, the Librarian could examine the possibility of making use of additional Capitol Police training courses. The Commander of the Capitol Police Training Division has expressed a willingness to offer other Capitol Police training courses to the Library Police.

Upon completion of our review, we will issue a report discussing in greater detail issues to be considered in assessing the feasibility of consolidating the Library and Capitol police Forces, and our suggestions regarding the consolidation of the forces.

Mr. Chairman, this concludes my remarks. I will be happy to answer any questions you or other members of the Subcommittee may have.

NO CONCLUSIONS REACHED

Senator REID. We look forward to the report in its final form.

At this time, has the General Accounting Office reached a conclusion as to cost effectiveness of a consolidation?

Mr. CROWLEY. No, sir; we have not.

Senator REID. But that will be one of the things that you will review?

Mr. CROWLEY. We will address aspects of that, yes.

Senator REID. Dr. Billington, do you have any reaction to the report, the preliminary report that the GAO has just made?

Dr. BILLINGTON. I think it is very helpful. Some of the suggestions parallel those that have occurred in our own internal discussions on this matter. I find it very helpful, and I think if there is a consolidation, we want to be sure that our people are treated fairly in the crossover. And we also want to make sure that our already diminished security needs are taken care of, because we have 142 police of whom only 112 are involved in the security of the collections.

We have the additional problem, of course, of having off-site facilities; that is, the Landover facility and the Taylor Street facility, where police needs are particularly keen and where we have a request in in this year's budget. I don't know if that extends beyond the reach of Capitol Police or not. But these are all technical questions, and we are very grateful for this study. We look forward to working cooperatively with them.

Senator REID. Thank you very much. Thank you, Dr. Billington. We have a large number of questions that we will submit to you in writing. We are doing that because we think the answers will be shorter.

Dr. BILLINGTON. Yes, sir.

SUBCOMMITTEE RECESS

Senator REID. The subcommittee is recessed subject to the call of the Chair.

[Whereupon, at 11:51 a.m., Friday, March 30, the subcommittee was recessed, to reconvene subject to the call of the Chair.]

LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 1991

FRIDAY, APRIL 6, 1990

U.S. SENATE,
SUBCOMMITTEE OF THE COMMITTEE ON APPROPRIATIONS,
Washington, DC.

The subcommittee met at 10:35 a.m., in room SD–116, Dirksen Senate Office Building, Hon. Harry Reid (chairman) presiding.

Present: Senator Reid.

GOVERNMENT PRINTING OFFICE

STATEMENT OF HON. ROBERT W. HOUK, PUBLIC PRINTER

ACCOMPANIED BY:
- RICHARD C. BARNETT, DIRECTOR OF CONGRESSIONAL AND LEGISLATIVE AFFAIRS
- ANDY SHERMAN, STAFF ASSISTANT FOR PLANNING
- THOMAS J. MULDOON, DIRECTOR, OFFICE OF PLANNING

OPENING REMARKS

Senator REID. The subcommittee will come to order.

This morning the subcommittee completes its regular hearings on the fiscal year 1991 budget for the legislative branch with the Government Printing Office and the General Accounting Office.

We are pleased to have as our first witness Mr. Robert Houk, the Public Printer. This, Mr. Houk, is your first appearance before this subcommittee since you have become the Public Printer. We are going to ask you this morning to defend the Government Printing Office request for fiscal 1991 appropriations totaling $112.8 million. This represents an increase, over the 1990 level, of $14.4 million, or about 15 percent.

It should be noted, though, that the amounts appropriated directly to GPO are not reflective of the actual magnitude of its overall program and funding. This, of course, is because GPO operates with a revolving fund containing in excess of $1 billion. So the appropriations we approve which go into the revolving fund are only a fraction of the general picture. The fund includes receipts from a variety of other sources as well.

PREPARED STATEMENT

We have your statement, Mr. Houk. It will be placed in the record in its entirety.

Mr. HOUK. Thank you, sir.

[The statement follows:]

Statement of Robert W. Houk

Mr. Chairman and members of the subcommittee: I am pleased to be here today to present the funding requirements necessary to carry out the responsibilities of the Government Printing Office (GPO) for fiscal year 1991.

APPROPRIATIONS REQUEST

For fiscal year 1991, I am requesting $112.8 million for those programs that require appropriations directly to GPO. This is an increase of approximately $14.4 million, or about 15 percent, over the funds approved for fiscal year 1990.

The increase is primarily to cover current production costs, the fiscal year 1991 bound Congressional Record, prior fiscal year obligations, and expenses for the printing and distribution of publications associated with the 1990 Decennial Census to depository and international exchange libraries.

The request consists of $84.9 million for the Congressional Printing and Binding Appropriation and $27.9 million for the Salaries and Expenses Appropriation of the Superintendent of Documents.

CONGRESSIONAL PRINTING AND BINDING APPROPRIATION

The request for the Congressional Printing and Binding Appropriation represents an increase of approximately $10.8 million over the funding approved for fiscal year 1990.

The major components of the increase are as follows: $7.8 million in price level changes to cover current production costs and the restoration of unit rates charged for Congressional work to full cost recovery levels; $4 million in program changes for the fiscal year 1991 bound Congressional Record; and $2.4 million in program changes to fund projected workload increases for Miscellaneous Printing and Binding, Committee Prints, Hearings, and other items.

These amounts are offset by projected workload decreases totaling $3.4 million in funding for preceding fiscal years' obligations (compared to fiscal year 1990), the daily Congressional Record, and other items.

Production Costs.—Approximately $4.6 million is included in the request to cover current production costs for fiscal year 1991. The majority of this amount is to cover labor cost increases associated with mandatory wage agreements and other increases in personnel compensation and benefits costs. Funds are also included to cover projected increases in the price of paper and other materials for fiscal year 1991.

Unit Rates.—For fiscal year 1990, in response to mandatory reductions to the Congressional Printing and Binding Appropriation resulting from the Gramm-Rudman-Hollings sequester (Public Law 99-177 and Public Law 101-239), the budget authority restriction of Public Law 101-163, and the reduction to fund Drug War programs enacted by Public Law 101-164, various unit rates charged for Congressional work were reduced.

Unit rate reductions, rather than volume reductions, were necessary because GPO is statutorily obligated to supply Congress with all of its printing needs regardless of the volume that is ordered. Based on estimated volume for fiscal year 1990, the extent of the mandated cost reductions required GPO to decrease many unit rates below levels charged for the same work performed in fiscal year 1989. These are expected to under-recover the cost of Congressional work performed for fiscal year 1990.

While GPO can compensate for the anticipated under-recovery this year to accommodate necessary reductions in funding, this policy cannot be continued in subsequent years without resulting in the need to request supplemental appropriations or increased funding to cover prior-year obligations. Accordingly, it is necessary to restore unit rates to levels that will fully recover the costs of Congressional Printing and Binding in fiscal year 1991.

Bound Congressional Record.—All of the bound editions of the Congressional Record through 1982 have been completed and delivered to Congress. The current status of other editions is as follows:

The 1983 and 1984 editions have been completed and delivered to Congress, except for the Indexes.

The 1985 edition has been completed and delivered to Congress, except for the Index and Digest.

All but 4 of the 25 volumes comprising the 1986 edition have been completed and delivered to Congress. Work on the text portion of the volumes is expected to be completed this year.

All but 11 of the 25 volumes comprising the 1987 edition have been completed and delivered to Congress. Work on the text portion of the volumes is expected to be completed this year.

Eight of the 22 volumes of the 1988 edition have been completed and delivered to Congress.

Pre-press production has been initiated on the 1989 edition.

Although funding for the bound editions of the Congressional Record for 1986 through 1990 has been deferred, GPO has been directed by Congress to perform work on these publications using available funds. However, it may become necessary to request additional funds in the future for these years.

Bicentennial Publications.—I am requesting a continuation of the appropriations language authorizing the use of unexpended balances for printing Bicentennial of the Congress publications.

An obligation of $2 million was established for these publications, of which GPO has billed a total of $960,000 to date. Examples of these publications include the Biographical Directory, Guide to Former Members Papers, 1789–1987, and History of the Committee on Ways and Means. There are several publications under production at this time.

Projected Workload Increases.—Workload increases are projected for Miscellaneous Printing and Binding, Committee Prints, Bills, Resolutions, and Amendments, Hearings, and other categories, as detailed in GPO's budget submission.

Compared to the reduction in the number of hours projected to be worked by Details to Congress in fiscal year 1990, as the result of a cost-reduction measure, there is a 6-percent increase in this category for fiscal year 1991 to cover the anticipated restoration of hours worked to normal levels.

Projected Workload Decreases.—A volume decrease is projected for the daily Congressional Record for fiscal year 1991 because the number of pages of this publication usually decreases in the first session of a Congress. Historically, first-session requirements also decrease significantly for Committee Reports and Business and Committee Calendars. These decreases are reflected in the request.

A planned new automated system for the Congressional Record Indexers should result in a decrease in hours worked, which will partially offset the volume increase projected for Index pages due to the ability to list more items.

Prior Fiscal Year Obligations.—GPO's Congressional Printing and Binding account balances are insufficient to fund all outstanding obligations through fiscal year 1989, as the result of unanticipated and unusually heavy demand in fiscal year 1988. In that year, daily Congressional Record pages were estimated at 37,000, but a total of 40,800 pages were actually printed. Similarly, 96,000 pages were estimated for Bills, Resolutions, and Amendments, but 120,000 pages were printed. Committee Report pages were estimated at 39,000, but 126,000 pages were actually printed, primarily due to the Iran-Contra report.

For fiscal year 1990 GPO submitted an estimate for the amount of funding required to meet these obligations which has since been exceeded. Approximately $3 million is required to meet all outstanding prior year obligations, excluding the bound Congressional Record.

SALARIES AND EXPENSES APPROPRIATION

The request for the Salaries and Expenses Appropriation for the Superintendent of Documents represents an increase of approximately $3.7 million over the total funding approved for fiscal year 1990.

The approved funding for fiscal year 1990 included $7.9 million in transfers from the GPO Revolving Fund, which were derived from net income generated by the Sales of Publications Program in fiscal years 1988 and 1989 and proceeds from the sale of land, and a reappropriation of $3 million in unexpended funds representing excess receipts from sales of publications that were transferred from the Revolving Fund in fiscal year 1986.

The major components of the $3.7 million increase for fiscal year 1991 are approximately $2.6 million for program changes, primarily the printing and distribution of publications associated with the 1990 Decennial Census to depository and international exchange libraries in 1991, and the printing and distribution of the bound Congressional Record in paper format to depository libraries. Approximately $1.1 million in price level changes is included to cover increases for mandatory pay and benefits and other adjustments, including a projected 9-percent increase in postage.

Census Publications.—Under program changes, approximately $2.2 million is included for reproduction and postage costs for the distribution of publications associated with the 1990 Decennial Census. The request anticipates distribution in microfiche format. Postage costs associated with distribution are projected to increase.

Depository Distribution of the Bound Congressional Record.—Funding for the printing and distribution of paper copies of the bound Congressional Record has not been included in the Salaries and Expenses Appropriation since fiscal year 1986 in compliance with Gramm-Rudman-Hollings reductions. For fiscal year 1991, $390,000 is being requested to perform this distribution for the 1991 edition.

International Exchange Program.—Funds are included in the request for the International Exchange Program for the expansion of the existing lighted-bin system, which serves the Depository Library Program, to accommodate distribution to international exchange libraries. This proposal has been substantially reduced from a similar request submitted to this Subcommittee last year.

The formats distributed to international exchange libraries are currently 10 percent paper and 90 percent microfiche. This ratio will not change as a result of the expansion. The expansion will require increased program costs for equipment and supplies, related engineering services, and automated data processing support, at a total cost of $122,400. The cost of these improvements will be depreciated over a ten-year life.

Sales of Publications Excess Receipts.—Since fiscal year 1986, Congress has directed that excess receipts from the sale of Government publications be used to offset the requirements for new budget authority in the Salaries and Expenses Appropriation.

During fiscal year 1989, a total of $5.2 million in excess receipts was generated by the Sales of Publications Program, an increase of 18 percent over the prior year due primarily to increased mail orders for Government publications. However, Congress has already transferred approximately $3.6 million of this amount to fund the fiscal year 1990 Salaries and Expenses Appropriation.

Accordingly, $1.6 million is available for this purpose for fiscal year 1991. In addition, a prior year adjustment to the excess receipts for fiscal year 1988, totaling $640,000, is also available for transfer to the Salaries and Expenses Appropriation for fiscal year 1991.

FTE LEVELS

Since fiscal year 1986, Congress has included a statutory ceiling on the employment of GPO full-time equivalents (FTE's) in the authorizing language for the Revolving Fund. For fiscal year 1990, Congress directed that this ceiling be set at 5,000 FTE's. At this time GPO's FTE's are only 1 percent below this mandated level due to year-end retirements and lapses in filling necessary positions.

Further reductions in personnel levels will cut into GPO's ability to provide products and services required by law. As a result of decade-long reductions in staffing levels, GPO has reached the point at which any more reductions will impede product and service delivery. Therefore, language has been submitted to maintain the ceiling at 5,000 FTE's for fiscal year 1991. This will allow GPO to continue to fulfill its statutory obligations in a satisfactory and cost-effective manner.

FAR REVISION

In 1987, a revision to the Federal Acquisition Regulations (FAR) was promulgated that would have permitted Executive Branch agencies to conduct their own in-house printing and printing procurement operations without the approval of the Joint Committee on Printing (JCP), as required by Title 44, section 501(2). The effective date of the revision was July 1, 1987, but Congress blocked its implementation with prohibiting language contained in the Legislative Branch Appropriations Acts for Fiscal Years 1988, 1989, and 1990. In August 1988, in response to the Congressional prohibition, the FAR Secretariat requested comments on a proposal to withdraw the revision, but to date has taken no final withdrawal action.

In view of the fact that the proposal to withdraw the FAR revision has not been finalized, Congressional action will again be necessary to prevent its implementation. Accordingly, for fiscal year 1991 language has been submitted prohibiting the implementation of the FAR revision. This is the same language that was included in previous Legislative Branch Appropriation Acts.

PUBLIC PRINTER'S REPRESENTATION FUND

For fiscal year 1991, language has been submitted to increase the limitation on funds expended on the certification of the Public Printer in connection with official representation and reception expenses from $2,500 to $5,000, in order to provide adequate funds for hosting functions appropriate to the Office of the Public Printer.

UNIFORM ALLOWANCES

For fiscal year 1991, language has been submitted to amend section 309(a) of Title 44, regarding the authorization to fund uniforms and uniform allowances under the Revolving Fund. The language would replace the limitation on the cost of uniforms and uniform allowances contained in section 5901(a) of Title 5 with language providing the Public Printer with authority to determine the amounts to be allocated for this purpose.

This amendment would allow for adjustments in the cost of uniforms without legislative action and would be in accord with the requirements of GPO's personnel and pay system, which operates under the authority of the Public Printer. Concurrently, the $400 limitation on uniforms and uniform allowances contained in the Revolving Fund, which pertains only to the first year in which the employee is required to wear a prescribed uniform, could be deleted.

TECHNICAL CHANGES

Language has been submitted to make technical changes to outdated provisions of sections 1703 and 1707 of Title 44. The costs of "assistants, blanks, and printing and binding" for the Superintendent of Documents, under section 1703, are to be charged against the GPO Revolving Fund and the Salaries and Expenses Appropriation to conform with current practice. Similarly, under section 1707, the cost of reprinting documents for sale is to be charged to the GPO Revolving Fund.

PUBLIC PRINTER'S PAY LEVEL

Language has been submitted to increase the pay level of the Public Printer from Executive Level IV to Executive Level III, based on duties and responsibilities that are equivalent to those performed by other Legislative Branch agency heads. Currently, the Public Printer's pay is set by law at two levels below that of the Comptroller General, and one level below that of every other Legislative Branch agency head, including the Architect of the Capitol, the Librarian of Congress, and the Directors of the Congressional Budget Office and the Office of Technology Assessment.

Along with the General Accounting Office and the Library of Congress, GPO is one of the three largest Legislative Branch agencies. The Public Printer oversees a $1 billion operation employing approximately 5,000 employees in the District of Columbia and throughout the Nation, with the primary responsibility for the quick turnaround provision of accurate, quality materials that are critical to the day-to-day operations of the legislative process. In addition, the Public Printer is responsible for providing printing and distribution services for all Government agencies and ensuring that the public has access to essential Government information through publications sales, depository libraries, and other distribution programs.

Continuing developments in information technology are imposing increased responsibilities on the Public Printer to ensure that the Government and the public are provided with up-to-date information dissemination capabilities. These responsibilities are likely to make it difficult to recruit future candidates for the Public Printer if the pay level for this position is not commensurate with the scope and duties of the Office, as well as similar executive positions throughout the Legislative Branch. Accordingly, I support this proposal to increase the pay level of the Public Printer from Executive Level IV to Executive Level III. For the same reasons, I support the proposal to increase the pay level of the Deputy Public Printer from Executive Level V to Executive Level IV.

CONGRESSIONAL RECORD PROGRAM

House Report 101-179 (July 26, 1989), accompanying H.R. 3014, the Legislative Branch Appropriations Bill for fiscal year 1990, required GPO to "work with the [JCP] to insure that appropriate action is taken to revise Section 906 of Title 44, to achieve reductions in the costs of the bound Congressional Record and the entire Congressional Record Program," and, in cooperation with the House Postmaster, to "reduce the delivery of daily Congressional Records to no more than the established limitation or the number requested by the Member, whichever is less, and limit the number of copies printed accordingly."

In response, GPO reviewed those sections of Title 44 which authorize the distribution of the daily and bound editions of the Congressional Record, and compared the authorized distribution to current distribution levels. In the course of this review, we specifically looked for instances of distribution exceeding authorized and currently funded levels.

The review found that fewer bylaw copies than are authorized are actually being distributed. Even adjusted for current funding restrictions on distribution, approximately 21,900 bylaw copies of the daily edition in paper format could be distributed under the current provisions of section 906. Actual bylaw distribution, however, is approximately 13,300. Approximately 4,000 sets of the bound edition could be distributed, but less than 300 sets are on the current distribution list. Other than revising the current distribution list to remove any deceased ex-Members, GPO did not find any instances of distribution that exceeded the established limitation on the number of copies to which designated recipients are entitled.

However, GPO noted a number of other problems with the statutes authorizing the distribution of the Congressional Record, including provisions for duplicative distribution and outdated language. These findings, along with suggested revisions to update and consolidate Title 44, were transmitted to the staff of the JCP, where they are currently under review.

ALKALINE PAPER

House Report 101-179 also required GPO, in consultation with the JCP, to "develop a plan to identify the extent, source, and types of archival type printing matter produced in house and acquired commercially by the GPO, or other agencies. The plan should also include a strategy and schedule to convert this printing to alkaline paper." This plan has been developed and is currently under final review. It will be transmitted to the Committees on Appropriations, the JCP, the Committee on House Administration, and the Senate Committee on Rules and Administration at an early date.

Fiscal year 1989 data shows that approximately 57 percent of the book-publishing and related papers purchased by GPO for in-house use and sales to Federal agencies was produced by paper mills using alkaline production processes. This paper was purchased at prices that were competitive with acid paper, since GPO's paper procurement system is designed to purchase paper which is the least expensive grade available that meets the Government's needs. Approximately 40 percent of the total volume of paper used to produce contract printing for GPO is estimated to be alkaline. The implementation of the Environmental Protection Agency (EPA) guidelines on recycled paper in 1989 does not appear to have adversely affected GPO's ability to obtain adequate supplies of alkaline paper.

Alkaline paper is available in sufficient supply, and at competitive prices, to provide for increased printing of Government documents designated as having enduring value, in accordance with the guidelines proposed by S.J. Res. 57 and H.J. Res. 226, which would establish a national policy on acid-free paper. Many Government publications apparently are already being printed on such paper. What is lacking at this time are operational mechanisms to ensure that all Government publications of enduring value are identified as such, and that available alkaline paper stocks are matched with all printing that requires such paper. Accordingly, the plan that will soon be transmitted to Congress proposes several steps GPO and the JCP can take in fiscal years 1990 and 1991 to establish and monitor the effectiveness of such mechanisms.

IMPACT OF EPA GUIDELINES ON RECOVERED MATERIALS

In a related matter, GPO has implemented an affirmative program for the procurement of newsprint, catalog/directory, high-grade printing and writing papers, and paperboard containing the maximum amount of recovered materials practicable, following guidelines issued by the EPA in June 1989 implementing section 6002(E) of the Resource Conservation and Recovery Act of 1976, as amended.

For paper purchased by GPO for in-house use and supplied to agencies, GPO will only award paper contracts to suppliers who meet the EPA guidelines for recovered materials. For GPO's Printing Procurement Program, the program does not apply at this time to printing jobs procured under small purchase procedures in order to ensure responsiveness and timely production. GPO has implemented the EPA guidelines for all other procured jobs utilizing offset and writing papers and newsprint.

Since its implementation, all indications are that the program is operating successfully, and it does not appear to have adversely impacted GPO's ability to purchase alkaline paper stocks.

GPO TELECOMMUNICATIONS

House Report 101-179 noted Congressional concern over the progress GPO is making in implementing changes to its telecommunications system, in cooperation with the Architect of the Capitol.

GPO is in the process of upgrading its telecommunications service with the acquisition of an integrated voice/data Private Automatic Branch Exchange (PABX) telecommunications system. This system conforms with the Legislative Branch Telecommunications Plan which was developed by the Architect of the Capitol. GPO participated in the development of this plan. The upgrade will improve cost control, provide new features, and allow integrated voice and data processing. The Architect of the Capitol has issued a Request for Quotation (RFQ) for the GPO PABX equipment, and GPO plans to make an award from the Architect's RFQ in the near future.

As part of the implementation phase, GPO has been working with the General Service Administration's (GSA) Telecommunications Technical Assistance Program on an outside contract for the inventory of the existing telecommunications cable plant. This inventory and evaluation will determine the suitability of the cables for reuse with the new system. Space to house the main switch equipment in the Central Office complex and a small switch at GPO's Union Center Plaza offices has been assigned. GPO will consult with the equipment contractor to develop specifications for the construction of the rooms to house the equipment to make sure the required facilities will be provided.

GPO is also in the process of changing from use of GSA's FTS long distance service to the MCI VNET long distance service. The Central Office change began in February 1990, and will be completed soon. The schedule to change GPO's regional offices has not yet been developed.

GAO AUDITS

During fiscal year 1989, the General Accounting Office (GAO) initiated audits of various GPO activities at the request of Congress. These audits, and their current status, are as follows:

> The first audit request, made by the House Subcommittee on Legislative Appropriations, concerned the need for GPO to pursue greater sharing of systems already in existence. Of primary interest was that GPO should conduct a cost-benefit study to share the payroll system of the National Finance Center, in New Orleans, LA. GPO is awaiting a final report from GAO on this subject.
>
> At JCP urging, GAO initiated a full-scale examination of the fiscal year 1989 financial statements. This audit will determine whether GPO's financial statements fairly present its financial position.
>
> Another audit, at the request of the JCP, involves a detailed general management review of GPO's total organization, focusing on GPO's operating environment, strategic planning, service delivery, organization, and accountability.
>
> The last audit, also at the request of the JCP, is a review of selected areas of GPO's cash management practices. This review has resulted in a written report. Specifically, the report concentrated on GPO's undeposited collections as reported on its Statement of Accountability, and unreconciled cash differences that occur between GPO and Treasury. GPO will be taking the necessary actions to improve control procedures in these two areas.

In the conduct of all of these audits, GPO has been extremely open with GAO. I look forward to any recommendations that will enhance GPO's operational performance.

ELECTRONIC DISSEMINATION PILOT PROJECTS

Last year GPO discussed with this Subcommittee GPO's development of five pilot projects to explore the feasibility and determine the costs of disseminating information in electronic formats to depository libraries. These pilot projects, three featuring CD-ROM distribution and two featuring online data base dissemination, are models of some of the information services and capabilities that GPO envisions providing in the future.

All of the projects are proceeding as planned. Their current status is as follows:

> *Census CD-ROM.*—Distribution of the Census CD-ROM test disk was made in September 1988 and May 1989.

EPA Toxic Release Inventory (TRI) CD-ROM.—CD-ROM's, floppy disks, and kit folders have all been ordered or are on hand. The hard-copy user documentation is in the final stages of preparation prior to printing. The distribution of the complete package is projected for April 1990.

Bound Congressional Record CD-ROM.—Corrections to the Congressional Record Index data base are nearing completion.

Commerce Department Economic Bulletin Board.—The selection of 86 pilot test sites based on library attributes has been completed. We are now working on the selection of 14 additional, discretionary test sites, based on an evaluation of the discretionary test site proposals submitted to GPO.

Department of Energy Pilot Project.—An interagency agreement between the Department of Energy and GPO, and a Statement of Work, are being finalized.

GPO has asked the GAO to monitor and evaluate the cost data generated by the pilot projects so that the full costs of the various methods of electronic dissemination to all depository libraries can be determined. There are indications that while CD-ROM dissemination may prove to be highly cost-effective as an electronic dissemination alternative, it may not be possible to fund online data base dissemination within the limits of the Salaries and Expenses Appropriation. The potential costs of such dissemination were discussed in the Office of Technology Assessment's (OTA) report, "Informing the Nation," and they are a very real concern. Accordingly, the Commerce Department online pilot project will also test the feasibility and cost impacts of cost-sharing.

PAPERWORK REDUCTION ACT REAUTHORIZATION

Over the past year GPO participated in the development of legislation to reauthorize the provisions of the Paperwork Reduction Act, included in chapter 35 of Title 44. Although GPO is not covered by the Act itself, GPO's attention was drawn to this process by the inclusion in the draft bills of provisions establishing statutory guidelines to be followed by OMB in the issuance of information dissemination policy directives, such as OMB Circular No. A-130, "Management of Federal Information Resources" (December 12, 1985). Last year, GPO informed this Subcommittee of its opposition to any OMB guidelines that do not require agencies to utilize GPO's information reproduction and dissemination programs to the extent provided by law.

GPO has reviewed the information dissemination provisions of S. 1742, the Federal Information Resources Management Act of 1989, and its companion, H.R. 3695, the Paperwork Reduction and Federal Information Resources Management Act of 1989. GPO favors the provisions of H.R. 3695, which would require OMB to specifically require agencies to utilize GPO. This bill provides that any information dissemination policy guidance issued by OMB must supplement and not replace the provisions of the public printing and documents chapters of Title 44; require agencies to provide to the Superintendent of Documents, for distribution to the Depository Library Program, all Government publications required by chapter 19 of Title 44 to be made available, including publications in electronic formats; and require agencies to utilize GPO for the production and dissemination of information products and services, to the extent provided by Title 44.

By contrast, S. 1742 lacks the specificity of H.R. 3695 with regard to GPO's programs and services. It provides only that any guidance issued by OMB "be developed in consultation with central information management agencies possessing Government-wide dissemination authority under law." It does not recognize the potential for the dissemination of publications to depository libraries in electronic formats, as does H.R. 3695. Finally, it contains provisions regarding the establishment of technological standards that do not adequately provide for consultation with or participation by GPO.

These observations were transmitted to the House Committee on Government Operations and the Senate Committee on Governmental Affairs prior to my confirmation, and I concur with them. I look forward to assisting the Committee on Governmental Affairs in further developing the provisions of S. 1742 to adequately address GPO's role and responsibilities in the cost-effective execution of Federal information policy.

TITLE 44 REVISION

Last year GPO participated in hearings conducted before the House Subcommittee on Procurement and Printing on the public printing and documents chapters of Title 44. The hearings were conducted principally as the result of the call for Congressional action to update the printing laws that was issued by OTA in "Informing the Nation." As a result of the hearings, H.R. 3849, the Government Printing Office Improvement Act of 1990, was introduced to revise and modernize chapters 5, 17, and 19 of Title 44.

H.R. 3849 has three purposes: to make permanent the continuing annual prohibition on the implementation of the 1987 FAR revision; to provide statutory clarification of GPO's authority to procure and disseminate Government information in electronic formats; and to establish a statutory provision for cost-sharing in the dissemination of on-line electronic information services to depository libraries.

Prior to my confirmation, GPO provided a number of comments on H.R. 3849 in hearings before the Subcommittee on March 7 and 8, 1990, along with suggestions for modifications. I generally concur with the position established by GPO at that time. In my view, there is a need to:

> Provide a permanent prohibition on the implementation of the FAR revision. However, the definition of "printing" found in section 2 of the bill needs further development.
>
> Seek a more modest clarification of GPO's authority to provide electronic products and services than is provided in the H.R. 3849. Specifically, I would prefer to see permissive language that authorizes, rather than requires, the procurement and dissemination of electronic information products and services through GPO's Printing Procurement and Sales of Publications Programs. Such language would be consistent with the findings of "Informing the Nation," as well as more conducive to practical, workable arrangements with other Government agencies.
>
> Preserve the integrity of the Depository Library Program by making Government publications in electronic formats available to depository libraries.
>
> Pursue the concept of cost-sharing proposed in the bill, in order to establish a workable mechanism to fund the dissemination of electronic information services to depository libraries. The very real probability that the costs of such dissemination will exceed the limitations on funding for the Depository Library Program compels GPO, Federal agencies, and the depository library community to explore this matter further.

GPO will continue to assist the Subcommittee on Procurement and Printing as it moves this important legislation forward.

Mr. Chairman, this concludes my prepared statement, and I would be pleased to answer any questions the Subcommittee may have.

INTRODUCTION OF ASSOCIATES

Senator Reid. We would ask you to summarize your statement, introduce your associates, and then we will ask you some questions.

Mr. Houk. Let me first introduce Rick Barnett, Director of Congressional and Legislative Affairs; Andy Sherman, Staff Assistant for Planning; and Tom Muldoon, Director of the Office of Planning, on the Public Printer's staff.

Mr. Chairman, I am pleased to be here today to present the funding requirements necessary to carry out the responsibilities of the Government Printing Office for fiscal year 1991. In the interest of time, as you have requested, I will briefly summarize my prepared remarks which have been submitted for the record.

As you stated, I am requesting a total of $112.8 million for those programs that require appropriations directly to GPO. The request consists of $84.9 million for the congressional printing and binding appropriation, and $27.9 million for the salaries and expenses appropriation of the Superintendent of Documents.

GPO's request for fiscal year 1991 represents an increase of approximately $14.4 million, or about 15 percent, over the funds approved for fiscal year 1990. The increase is primarily to cover production costs; the 1991 bound Congressional Record; prior fiscal year obligations; and expenses for the printing and distribution of publications associated with the 1990 decennial census to depository and international exchange libraries.

The request I am submitting today is identical to the request submitted by GPO to the House Subcommittee on Legislative Branch appropriations in January.

Both before and since my confirmation as Public Printer, I have spent a considerable amount of time in meetings and discussions with GPO management, local and national printing union officials, the leadership of GPO's Coalition of Minority Workers, representatives from the library community, representatives of the printing industry and of the information industry; also, agency printing and publishing officials; and, most importantly, members and staff of the Senate and House of Representatives and the Joint Committee on Printing.

In my view, these meetings have established the basis for a continuing productive dialog on the management of GPO and its role in the future of Federal information policy. As part of this dialog, I intend to build a close and constructive working relationship with this subcommittee and its counterpart in the House of Representatives. As Congress strives to cope in this era of fiscal constraint, GPO will be a source of solutions rather than problems in the continuing effort to improve Government printing and distribution services at reduced cost.

My preliminary analysis of GPO's condition today has clarified a number of issue areas which I intend to address immediately. The first of these involves the extent to which GPO can be modernized under current funding conditions. Recently, a broad range of capital investment proposals submitted by GPO to the Joint Committee on Printing over the last year were returned to me for reevaluation. We have begun this reevaluation process to establish new priorities for modernization at GPO.

A related question is whether GPO's facilities are adequate to meet current and projected production, procurement, and distribution requirements. Over the past 2 years, this subcommittee has taken an interest in exploratory efforts by GPO to make major changes in existing facilities or to seek new facilities.

To my knowledge, however, these efforts did not proceed from a comprehensive evaluation of GPO's current and projected facilities requirements. I will require such an evaluation to be conducted before any new action is initiated in this area.

Before I took office as Public Printer, I had the opportunity to review the 1988 report of the Office of Technology Assessment entitled "Informing the Nation." Progress in implementing the various recommendations contained in the report has been made, but much remains to be done.

Given the pace of the Government's ongoing transition to electronic information technologies, GPO will continue to make a concerted effort to plan and prepare for its evolving role in Federal information dissemination. GPO will also continue with efforts to improve its current products and administrative services.

As this subcommittee is aware, the OTA report called on Congress to revise the statutes governing the Federal printing program to address modern technological developments. In my view, Congress has answered that call in pending legislation to reauthorize the Paperwork Reduction Act and, in another bill, to modernize the printing and distribution chapters of title 44 of the U.S. Code.

As I have noted in my prepared statement, I believe the legislation to reauthorize the Paperwork Reduction Act will ensure that GPO is included in future guidelines on Federal information policy that are issued by the Office of Management and Budget.

With regard to the proposed changes to title 44, I support the bill that was introduced by Congressman Bates, to the extent that it will explicitly authorize GPO to provide electronic products and services. I also agree with the purpose of this bill to establish a statutory cost-sharing mechanism for the dissemination of electronic information services to depository libraries. GPO will continue to cooperate and work closely with the committees responsible for these important efforts.

This concludes my remarks, Mr. Chairman, and I would be pleased to answer any questions the subcommittee may have.

Senator REID. Your predecessor, I met with on several occasions. Why don't you give me a little bit about your background, because I don't know?

Mr. HOUK. My background?

Senator REID. Yes.

Mr. HOUK. I started in printing in 1954 with the Ford Motor Co., after two terms of service in the Army and college. I worked on improving procurement techniques for buying printing.

I then joined Manifold Forms Corp., a division of Saffron Printing Co., in Detroit, in 1957. In 1965, I cofounded UFORMA Inc., a printing company primarily specializing in computer forms and systems. In 1979, we acquired Shelby Business Forms, an 85-year-old firm in Shelby, OH. I sold 80 percent of my ownership in those firms in 1987 and the remainder in January 1988.

I am a former chairman of the Printing Industries of America, former chairman of the board of International Business Forms Industries, and a member of the Rochester Institute of Technology's Hall of Fame.

CONGRESSIONAL RECORD PROGRAM AUTOMATION

Senator REID. That is nice; I appreciate that.

One of the things we pay special attention to, of course, is the Congressional Record.

Mr. HOUK. Yes, sir.

Senator REID. You are participating with the Secretary of the Senate in an effort to automate the Record.

Mr. HOUK. That is true.

Senator REID. And I am told this could yield substantial savings. Could you give us the status of this project and GPO's end of the process, what you are doing in the process?

Mr. HOUK. The automation of the Congressional Record program is a joint project. The efforts of the Secretary of the Senate to increase the Record input in electronic format helps GPO to use its automated capability. And, in another program automation project, the Joint Committee on Printing has directed the Government Printing Office to purchase new automation equipment for the Congressional Record Indexers' Office. The goal of the new equipment and related software is to allow for greater independence by the indexing operation, yet be compatible with the GPO's printing systems. More timely indexes and digests should flow from this system, with annual savings in the congressional printing and binding appropriation amounting to approximately $400,000.

Production cost savings of the Congressional Directory, which will be produced with this new system, alone should amount to an additional $200,000. Less personnel resources is also an expected benefit.

I might add, though, however, we haven't completed the loop on that procurement. That is still in the process of analysis.

Senator REID. How long will that take? Do you have an idea?

Mr. HOUK. I think within the next few months we should be able to establish the parameters whereby we can reach agreement with the JCP on exactly what we want to procure. So I would say within 90 days we might have a chance of completing that.

FACILITIES

Senator REID. What is your impression of the adequacy of GPO's existing facilities to meet your current and future needs?

Mr. HOUK. Well, I could address that from the facilities itself as well as the equipment. In regard to the GPO buildings, I am glad you asked that question. They are old and they present problems concerning materials handling, primarily, equipment alignment, and the need for extra space in the Washington, DC, area.

Without the benefit of an indepth study, however, GPO's facilities appear to be adequate to meet present needs. Development of a long-range plan for future needs has to be conducted before any further exploration of major modifications, alterations, or relocation is undertaken.

For the future, the question is whether the efficiency of GPO's operations can be improved by modifications or alterations to existing plant or by relocation to a new facility.

GPO currently has sufficient space to conduct printing operations at current demand levels. As the need for printing is supplemented over time by electronic technologies, necessary shrinkage of space occupied by printing presses will free up space for more efficient equipment alignments, reduce problems associated with materials handling, and free space for consolidation of other GPO operations that are now far flung and spread out over the metropolitan area.

Relocation to a new site would be very expensive. Although the configuration of GPO's operations is likely to be different in the future—for example, less space needed for conventional printing operations, more for management of data bases and electronic format involvement, contracting and dissemination operations—site purchase and construction costs in the D.C. area will be high.

Relocation outside the D.C. area where land is less expensive may be facilitated by improvements to telecommunications capabilities, for example, enabling offsite on-demand printing, but the continued importance of printing to the legislative process is likely to require close proximity of GPO to Congress.

Senator REID. So you don't need or want a new building. Would that be a fair statement?

Mr. **Houk**. I am not prepared yet to determine whether I need a modification of the current complex or a new building at another location.

Senator **Reid**. You have indicated a study would be necessary. You know, I am kind of like David Pryor; he is kind of down on studies. What kind of study do you think you would need to determine if you need new facilities?

Mr. **Houk**. Mr. Chairman, GPO is involved in managing its current operations, but at the same time it is deeply involved in the transition to electronic technologies that is going on. And I don't see any evidence of an existing study that I can rely on that would indicate a clear direction that I would like to take with regard to a new building.

Senator **Reid**. Do you think you can make this decision on your own without a study?

Mr. **Houk**. Yes, sir; I am capable of making the decision on my own about improvements, but I am not capable without a study to determine whether the location should be offsite or in its current complex.

Senator **Reid**. Do you have any idea who should do this study?

Mr. **Houk**. GPO can do the study, with the support of those resources available on the Hill which I will utilize.

Senator **Reid**. Next year, let us take another look at that, then.

EQUIPMENT MODERNIZATION

Mr. **Houk**. Yes, sir; I could comment on the equipment, if you are interested.

Senator **Reid**. Please.

Mr. **Houk**. I would say that more than any other industry, the printing industry has been affected by electronic technologies which continue to evolve at a rapid pace. Therefore, continued modernization is a key to maintaining cost-effective printing operations and providing improved products.

In the future, GPO will increase its investment in computer-assisted printing technologies, as well as other electronic technologies, to increase productivity, generate savings, and provide improved products and services.

Following my confirmation, the JCP returned to me a list of 46 capital investment projects submitted by GPO for JCP approval over the previous year. These included press replacement proposals and other equipment purchase requests, as well as proposals for building modifications. I will be reviewing these requests over the next few weeks to establish updated plans for equipment and facilities modernization at the GPO.

Senator **Reid**. OK.

Mr. **Houk**. I am simply not prepared to accept the positions taken in the past on those 46 requests. That study also, along with the other one, could be done in house.

Senator **Reid**. We also, relating to the equipment, would like to know any suggestions about the financing and purchase of it.

Mr. **Houk**. We can provide you with these.

RAPID RESPONSE CENTER

Senator **Reid**. The Rapid Response Center was established to provide quick turnaround for executive agencies and to take the workload of executive printing plants that were to be closed. GPO has previously reported that a declining workload of the Rapid Response Center has made this center an expensive and inefficient operation that may have outlived its purpose. Additionally, many executive plants remain open.

How much are you losing on this Response Center operation, and why does GPO continue to keep this facility in operation?

Mr. **Houk**. Let me respond by reversing the order, if I may, to set a preface here. In the past, GPO requested authority from the JCP to close the Rapid Response Center and reestablish these facilities at the main GPO.

In anticipation of the closing or downgrading of many agency printing facilities, the RRC was provided with equipment to produce a diversity of products. However, the agency plant closings did not occur, leaving the RRC overequipped and overstaffed with idle capacity. Attempts to turn the RRC into a viable and efficient operation since then have failed.

The total cost of the RRC was $9.9 million in fiscal year 1989, and $10.9 million in fiscal year 1988. Losses totaled $2.8 million in fiscal year 1989, and $3.6 million in fiscal year 1988, or 28 percent and 33 percent of revenue, respectively.

The RRC is now operating with one less shift than in past years. So the reduced loss during fiscal year 1989 was largely due to reduced personnel compensation. An evaluation of the RRC is one of my high priority items, Mr. Chairman.

ELECTRONIC DISSEMINATION PILOT PROJECTS

Senator **Reid**. Last year, the GPO initiated various pilot projects for the dissemination of electronic formats to depository libraries. During the hearing, we spent a little bit of time on that.

I would like you to provide us with an update on the status of these pilot projects and indicate, if you can, whether the library community seems to be satisfied with the results so far.

Mr. **Houk**. I wonder if you would agree, Mr. Chairman, for the sake of time, that I might address—I would be happy to give you the status on all five projects or one CD-ROM project and one online data base project, if that is your pleasure.

Senator **Reid**. If you have all five there, why don't you just submit it? We will just take that in writing.

Mr. **Houk**. I will be pleased to submit the information.

Senator **Reid**. You don't have to go through it now.

Mr. **Houk**. Very good, indeed.

[The information follows:]

The status of the Depository Library Program electronic format pilot projects is as follows:

Census Bureau CD-ROM.—This project involves the dissemination of a CD-ROM (Compact Disk-Read Only Memory) disk to depository libraries.

The disk contains data from the 1982 Census of Retail Trade (by zip code) and the 1982 Agriculture Census. Its distribution was designed to determine the viability of disseminating Census data from the 1990 Census in CD-ROM format.

Distribution of the Census CD-ROM test disk was made in September 1988 to 100 test libraries, and in May 1989 to the remainder of all other depository libraries. No major problems have been indicated. A survey is planned to find out about library use of the disk.

The Retail Trade data was previously available only on magnetic tape. Printing the Agriculture data for distribution to only 500 libraries would have cost about $76,000. The CD-ROM disks were distributed to all libraries at a cost of about $8 to $10 per disk. GPO pays for the cost of the disks distributed to the libraries.

EPA Toxic Release Inventory (TRI) CD-ROM.—This CD-ROM disk will include information on over 300 toxic chemicals collected from thousands of sites across the country by the Environmental Protection Agency (EPA). CD-ROM technology will enable massive data storage and efficient search and retrieval.

The alternative to the disk is to release the data on microfiche. A complete microfiche set would include about 1,000 fiche, with no search capabilities.

Five hundred and fifty libraries are slated to receive the TRI CD-ROM. CD-ROM's, floppy disks (containing search and retrieval software), and kit folders have all been ordered or are on hand. The hard-copy user documentation is in the final stages of preparation prior to printing. The distribution of the complete package is projected for April 1990.

Software for this distribution is being made available under a licensing agreement. The cost of each CD-ROM distributed includes a cost for the licensing. Without the software, each disk containing the data costs approximately $2.75. The software may add another $8 to $10 to the cost of each disk. GPO pays for the costs of the disks distributed to the libraries.

The TRI CD-ROM will be sold through GPO's Sales Program. The sales price for the complete package (including licensed software) will be $23.

Bound Congressional Record CD-ROM.—This CD-ROM project will include all of the text of the 1985 bound Congressional Record, plus the Index and Digest. Software will provide for enhanced search and retrieval capabilities.

One set of the bound Congressional Record typically includes 35,000 to 40,000 pages. A CD-ROM typically can contain the equivalent of up to 275,000 pages of information.

Distribution is slated for all 1,400 depository libraries.

Corrections to the Congressional Record Index data base are nearing completion. The software to be used is a generic software that recently was procured by GPO, and is currently being tested. Distribution is scheduled for June 1990.

The software is made available under a licensing agreement. Depending on the particular software package selected, licensing costs could be anywhere from $5 to $60 per disk. Without the software, each disk costs approximately $2. A complete set of the bound Congressional Record costs approximately $600 to print and bind. GPO pays for the costs of the disks distributed to the libraries.

Commerce Department Economic Bulletin Board.—This project will make this electronic bulletin board available to 100 libraries for 6 months.

The bulletin board contains up-to-date data on the consumer price index, unemployment data, and a vast range of other data normally issued through press releases. Press releases, though eligible for inclusion in the depository library program, are often difficult to get for the program, and frequently far out of date by the time they get to the libraries.

Accessing the bulletin board involves file connect (computer access) fees, as well as telecommunications costs (telephone charges). For $15,000, to be paid by GPO to Commerce, Commerce will make unlimited computer time available to the 100 test libraries for 6 months. The libraries will have to pay for telephone charges. Telephone charges will vary, depending on the time of day the call is placed, the distance from Washington, the length of time of the computer connect, and the telephone carrier used.

The selection of 86 pilot test sites based on library attributes has been completed. We are now working on the selection of 14 additional discretionary test sites, based on an evaluation of the discretionary test site proposals submitted to GPO. We have asked the Depository Library Advisory Council for assistance in finalizing the 14 selections.

Department of Energy Pilot Project.—This is the most advanced and sophisticated of all the pilot projects.

The project has 2 phases: (1) permit libraries to access the DOE's bibliographic files located in its Integrated Technical Information Systems, and develop a computer "gateway" through DOE by which libraries can access older DOE bibliographic files held by commercial vendors; and (2) select and test a system for electronic delivery to libraries of the full text of DOE reports.

Some DOE bibliographic data is currently available to libraries in printed form. Electronic access will enhance search capabilities, provide for more comprehensive access to bibliographic files, and provide for up-to-date access.

DOE currently makes available thousands of documents to depository libraries in microfiche. Electronic delivery could improve this dissemination system.

An interagency agreement between DOE and GPO for the operation of this project is in the process of being finalized. Under it, GPO would pay $133,000 to DOE. This would cover the adaptation of DOE's system to serve the libraries, the development of the computer "gateway" to contractor files, testing and selection of alternative dissemination formats for full-test reports, and all associated costs.

The fee to be paid by GPO would also cover the computer connect time that would be provided by DOE when libraries dial up the system for access. Who would pay the telecommunications costs incurred by the libraries has not been determined yet.

In addition, computer connect charges incurred by libraries for access to contractor files through the "gateway" would have to be paid by the libraries. These charges vary, in the range of $85 to $120/hour.

Twenty libraries will participate in this pilot project.

RAPID RESPONSE CENTER

Senator REID. If we could flip back to the last thing we talked about, the Rapid Response Center, I am wondering if you would support a provision that would prohibit funds for this.

Mr. MULDOON. Mr. Chairman, the Rapid Response Center is funded out of our revolving fund and we do not get direct appropriations for that activity.

Senator REID. That is right. That is what you do with a lot of your programs.

Mr. MULDOON. That is correct. But as far as the financing of it, we use the revolving fund money. So you would have to——

Senator REID. Well, I know, but we could prohibit, of course, spending any money on that, no matter where it comes from.

Mr. MULDOON. That is correct. Each year we request reauthorization to use the revolving fund, with various provisions or restrictions placed upon it, and that is obviously an option that you would be able to consider, yes. GPO would need to consult with the Joint Committee on Printing on matters such as facilities relocations.

ON-LINE ACCESS

Senator REID. Commercial publishers, I understand, are interested in getting on-line access to Government data bases. How much would this access be worth to private firms and how should the Government price these products if it is decided to give for-profit firms access to information collected at public expense.

Mr. HOUK. Well, we are already proceeding part way on that issue.

Do you want to pick that up and give them a status update of that? We are currently involved with the private sector in supplying products.

Mr. MULDOON. At the present time, we sell various data bases in magnetic tape format to the public for private uses. The tapes are priced in accordance with title 44. We have approximately $250,000 in fiscal year 1990 that we are using to fund the previously mentioned pilot projects. The outcome of those projects will determine various factors relative to electronic dissemination in terms of the future financing and funding of those types of arrangements. We have one pilot project with a cost-sharing provision between the GPO and the participating depository libraries.

Mr. **Houk**. Mr. Chairman, I am in favor of enhancing cooperation with the private sector industry portion in this matter.

Senator **Reid**. Do you think that we can cover the costs of doing that, though, by charging these private firms?

Mr. **Houk**. Yes, sir; I do.

CONGRESSIONAL RATE REDUCTIONS

Senator **Reid**. You indicate that you reduced your rates to Congress in response to sequester, drug funding cut, and other reductions from the estimate in the congressional printing and binding account for the current year. What specific rates have been reduced and to what extent? And also explain why you reduced your billing rate below actual cost.

Mr. **Houk**. Rates were reduced for every category of congressional work to achieve a reduction of about $3.2 million, or 4.3 percent. I have before me a list of the categories and the amount of the reduction for each category. It totals, as I said, $3.2 million. I would be happy to list, for example, the kind of items that were involved, or I could submit it to you.

Senator **Reid**. Yes; if you do have a chart, we would like you to submit that so we can study it.

Mr. **Houk**. Consider it done, Mr. Chairman.

Senator **Reid**. OK.

[The information follows:]

Fiscal year 1990 rate reductions in congressional printing and binding to comply with mandatory budget reductions

Category	*Amount of reduction*
Daily Congressional Record	$484,000
Congressional Record index	84,000
Congressional Record indexers	68,000
Miscellaneous publications	376,000
Miscellaneous printing and binding	475,000
Details to Congress	166,000
Document envelopes	57,000
Document franks	7,000
Business and committee calendars	91,000
Bills, resolutions, and amendments	340,000
Committee reports	182,000
Documents	60,000
Hearings	616,000
Committee prints	169,000
Total	3,175,000

REDUCTION OF RATES

Mr. **Houk**. Now, you asked a question about the reduction of rates.

Senator **Reid**. Yes.

Mr. **Houk**. Would you rephrase that again, please?

Senator **Reid**. What rates have been reduced and to what extent?

Mr. **Muldoon**. Sir, the effective rates for all the various categories of work for the Congress have been reduced. To give you a simple example, we do a specific job for the Congress and once that total bill is known, we take that bill and reduce it by 10 percent as a means of complying with all of these various budget reductions.

Senator **Reid**. Because it makes our costs less?

Mr. **Muldoon**. It makes Congress' costs less at this time. Right now, a part of our savings plan is to reduce billings to the Congress for this $3.2 million. We have some other specific actions we would like to take to achieve reductions, but the vast majority of it is going to come from reduced billings.

Senator **Reid**. How was the cost then absorbed?

Mr. **Muldoon**. We are presently absorbing that within the revolving fund. Basically, we are not asking for a restoration this year of the reduced billings. We are advising the committee that our rates next year have increased to a certain degree, much of which is due to these reduced billings in 1990.

As far as the future, this is, we feel, a very bad precedent because we have been, in the revolving fund over the years, developing various surpluses to use for capital equipment and other investments. And as we use the revolving fund to accommodate these types of reductions, we are digging into our surpluses which have been earmarked for other purposes.

So we cannot continue with this type of a precedent in the future as far as reducing all the bills of Congress. According to title 44, we are to charge full cost for all printing and binding. What conceivably could happen in the future if this type of precedent exists is that we will be increasing the volume of prior-year obligations which would be unfunded.

We basically continue work for the Congress as you require work from us. We just don't stop the work. What might wind up happening is we may not bill you at a certain point and then come forth into next year's appropriation with additional prior-year obligations.

CONGRESSIONAL RECORD INDEX

Senator **Reid**. I see. One of the things the Public Printer talked about in his statement was Congressional Record indexers, did you not?

Mr. **Houk**. Well, we mentioned the indexers as far as the new software and computer system that is going to be involved.

Senator **Reid**. And that is the largest increase in rates, about 31 percent, for Congressional Record indexers?

Mr. **Houk**. Yes, sir.

Senator **Reid**. Why the need for this increase?

Mr. **Houk**. It is to recover the costs incurred in procuring the software and the computer system for the linkage. That is what the rates are directed to recover. That request has been made by the JCP. Let me emphasize that I am reviewing and analyzing this matter.

Senator **Reid**. You render a great service to the Congress and to the American public. Your job is not one that gets a lot of notice, but it would be a much different institution around here without the printing. And so I appreciate the work you do and I know how important it is to the country. I appreciate your testimony here today.

ADDITIONAL COMMITTEE QUESTIONS

We are going to submit some more questions to you in writing and ask you to respond within the next 2 weeks.

Mr. Houk. Thank you very much, Mr. Chairman. We will do so.

[The following questions were not asked at the hearing, but were submitted to the Department for response subsequent to the hearing:]

ADDITIONAL COMMITTEE QUESTIONS

Question. In response to mandatory budget reductions in the FY 1990 Congressional Printing and Binding Appropriation, you indicate that you have implemented rate reductions totalling $3.2 million. How do you plan to achieve the balance of the reductions?

Response. The balance of the reductions, totalling about $.5 million, will be achieved through the following actions:

	Savings
Reduce the number of Congressional Record Indexers by two	$120,000
Reduce the number of regular and overtime hours for Details to Congress	330,000
Distribute the Agriculture Yearbook in bulk, rather than in individual mailing cartons	50,000

In the event that these actions do not result in the necessary savings, it may be necessary to decrease rates additionally to achieve the total reduction of $3.7 million.

Question. The 1988 study of Federal information dissemination, produced by the Office of Technology Assessment, discussed the Government's transition from ink-on-paper formats to electronic formats. It specifically addressed GPO's future involvement with electronic formats. What role do you see GPO taking in this transition, with respect to the provision of electronic information products and services?

Response. GPO's legislative history, the OTA report, and current efforts to modernize Title 44 and reauthorize the Paperwork Reduction Act all strongly suggest that GPO has a substantial role to play in Federal information dissemination policy, in terms of conventional printing and electronic information technologies.

GPO's conventional printing, printing procurement, and documents distribution operations are demonstrably among the most effective means for the Government to obtain its conventional, ink-on-paper information needs.

For electronic information technologies, including information products (e.g., CD-ROM, optical disks, magnetic tapes) and information services (online database transmission, satellite or FM-subcarrier transmission), GPO has a role to play to the extent it can offer competitive, cost-effective electronic information reproduction and dissemination services to improve the provision of information for the Government and the public.

GPO's involvement in electronic information formats is already evident in: procurement of "mixed-resource" electronic publishing contracts and CD-ROM products; existing sales of magnetic tape formats and planned sales of CD-ROM's; pilot projects for the dissemination of electronic formats to depository libraries. GPO has also experimented with the dissemination of Federal Register data via FM-subcarrier and satellite dish.

Further electronic involvement can be achieved by expanding GPO's expertise in electronic formats and marketing the benefits of utilizing GPO's procurement and sales programs to Federal agencies.

Question. The OTA report said that the dissemination costs associated with online database formats could be very expensive, especially where the depository library program is concerned. Recently, there has been much discussion of the concept of cost-sharing to finance online database dissemination to depository libraries. In your view, is the concept of cost-sharing a workable solution to funding the dissemination of online databases to depository libraries? Is cost-sharing being tested as part of the pilot projects that are currently being conducted?

Response. The costs associated with online database dissemination can be expensive, depending on the kind of service provided. Computer connect fees and telephone line costs together constitute the greatest part of the costs. Also, there may be other related costs, such as for training and equipment.

The depository distribution program has an annual appropriation of about $20 million. The majority of this amount, or about 60 percent, is for printing and binding publications to be distributed to the libraries. Because the emergence of online services will not supplant books altogether, and because of the potentially high costs of online services themselves, this appropriation would not be able to fully fund all online dissemination alone. This appropriation has been declining in recent years, and it is not likely to be increased to cover spending which cannot be effectively controlled by GPO. Funding for online dissemination, therefore, must come from other sources.

The concept of cost-sharing is a workable solution to the problem of funding online dissemination to depository libraries. The Depository Library Program is and always has been a cooperative effort between the Government and participating libraries to meet the needs of Government information users. Within this system, the Government traditionally has borne the costs of creating, reproducing, and distributing information to depository libraries, while the libraries themselves have borne the costs to house, staff, and otherwise make Government information available to users.

What would change in this equation is the apportionment of costs associated with the dissemination of information in online database formats. This is not cost-shifting, as has been suggested by others. Instead, apportioning the costs of online dissemination between agencies, libraries, and the GPO is based on how the costs associated with such dissemination are generated.

Computer connect charges and telephone line charges are directly related to use, and not to the function of making these services available to libraries, as are the marginal costs associated with the printing, binding, and distribution of a book. Thus, there is the great possibility that these would become "runaway" costs if libraries were provided with unlimited access to online services.

Control of the use of online services is inherent in the end user, not in the disseminator of the information service. Accordingly, the responsibility for apportioning use of these services, and the corresponding costs of use, should most appropriately be charged to the libraries making their facilities and utilities available for accessing online services, and possibly to users themselves.

Agencies are responsible for establishing the costs that must be recovered through computer connect charges. The cost-sharing system that has been proposed in the Bates bill also envisions increased participation by issuing agencies which, along with libraries and users, have a significant interest in providing access to online database services.

The Economic Bulletin Board pilot project is currently testing the feasibility and practicality of cost-sharing. A group of 100 libraries will be provided with access to the Commerce Department's Economic Bulletin Board for a period of 7 months. GPO will reimburse Commerce for $15,000 to cover the cost of computer connect charges. The participating libraries will pay the associated telecommunications costs.

Question. The OTA report on Federal Information Dissemination in an Electronic Age concluded that Congressional action is urgently needed to resolve Federal information dissemination issues and to set the direction of Federal activities for years to come. Last year, GPO advised this Subcommittee of a number of recommended changes to Title 44 that it envisioned as critical to GPO's future in the Electronic Age. There have been various bills introduced during the last year which would affect GPO's future. The Congress is moving to reauthorize the Paperwork Reduction Act. What is your view of the House and Senate reauthorization bills?

Response. The Paperwork Reduction Act reauthorization bills contain specific provisions establishing requirements that the Office of Management and Budget

(OMB) would have to follow in any information dissemination guidance it issues to agencies.

Current OMB information dissemination guidance to agencies is contained in OMB Circular No. A-130. Except for a brief reference to the depository library program, A-130 does not include any OMB guidance to agencies on the use of GPO programs and services, to the extent provided by law. In addition, subsequent OMB interpretations of GPO's role in information policy have limited agencies to utilizing GPO for ink-on-paper products and services only. We think this interpretation is incorrect. If allowed to continue, it will prevent agencies from utilizing GPO for the reproduction and dissemination of electronic formats.

We concur with the provisions of H.R. 3695, the House version of the PRA reauthorization. It includes specific language requiring OMB to require agencies to utilize GPO, to the extent provided by law, for the cost-effective and efficient reproduction and dissemination of Government information.

We think the provisions of S. 1742, the companion to H.R. 3695, are too general, and should be strengthened along the lines of the House version. Also, S. 1742 contains provisions regarding standards-setting that do not, in our opinion, provide for adequate participation by GPO.

We have informed both the Senate and the House Committees responsible for this legislation of our views.

Question. A House bill, the GPO Improvement Act of 1990, has been introduced that may be of some benefit to GPO. What is your view of this bill?

Response. GPO testified on H.R. 3849, the GPO Improvement Act, on March 7. We concur with the intent of this bill to clarify GPO's authority under law to procure and disseminate information in electronic formats.

However, portions of the bill are not consistent with the OTA study. For the procurement and sales of electronic formats, we would prefer to see GPO provided with permissive authority in these areas, rather than a mandatory requirement that Federal agencies conduct these functions through GPO. We support the concept of cost-sharing included in the bill, and think this concept should be explored further to provide acceptable language to all parties concerned.

Question. Do you see it critical that the Appropriations Committees continue to insert the language prohibiting executive agencies from conducting their own printing and printing procurement operations without the approval of the Joint Committee on Printing?

Response. H.R. 3849 would make permanent the annual prohibition on the implementation of the 1987 revision to the Federal Acquisition Regulations. This revision, if not blocked as it has been by the Appropriations Committees since 1988, will permit agencies to establish their own in-house printing and printing procurement operations without reference to the Joint Committee on Printing or GPO, as is currently required by law. Where conventional ink-on-paper technologies are concerned, GPO has been demonstrated to be the most cost-effective source of Government printing. The decentralization of Government printing would result in waste, duplication, and abuse of the taxpayer's Government printing dollar.

Question. In your testimony, you indicate that you price electronic products for commercial users, such as magnetic tapes, in accordance with Title 44 of the U.S. Code. Can you expand on the details of your pricing formula? Will you be pricing online database services in a similar manner?

Response. The electronic formats currently offered for sale in GPO's Sales of Publications Program are priced at cost, as determined by the Public Printer, plus 50 percent, as established by the publications pricing formula found at section 1708 of Title 44. Cost includes all of the costs incurred by the Sales of Publications Program in making these products available, including reproduction of additional copies of the product; order processing, fulfillment, and handling; and postage.

GPO currently has had no experience in pricing the dissemination of online database services through the Sales of Publications Program. Because of the fundamentally different way that these services would be disseminated, it is not clear at this point in time that the publications pricing formula in section 1708 would be an adequate mechanism for pricing these services.

Question. With the anticipated increase in commercial use of Government online databases, can you estimate the value-added benefit of this potential use in the private sector?

Response. GPO has no available estimates of the value-added benefit Government online databases would provide to the private sector.

It may be useful to point out, however, that the basic purpose of the pricing formula established by section 1708 of Title 44 is to recover the costs incurred by the Government in distributing Government publications to the public. It does not attempt to recover any additional value that might accrue to the private sector through re-use.

QUESTIONS SUBMITTED BY SENATOR DON NICKLES

Question. This question is a follow-up to a question from last year concerning the quality of GPO publications and products. In particular, I was upset with the high frequency of "typos" in various issues of the Congressional Record. In your response to my question, you indicated that quality control actions were being taken to address these problems. Do you have any objective, concrete data that indicates that your quality control efforts have been successful?

Response. At this time, we do not have hard data to support statistically valid conclusions. However, a sample review conducted in August 1989 indicated that an average of 2.2 typographical errors per page were made in the Congressional Record. This indicates marginal improvement over several years ago. A quality standard has been instituted for proofreading. When work is found to be below the quality standard, action is taken to correct and improve our performance. Also in the near future, we will be converting our typesetting system to a PC-based environment. Upon the conversion, plans are to not only use conventional proofreading methods now in place, but also to avail ourselves of proofreading tools developed for the PC, such as automated spell-checking of files. This, we believe, will not only greatly improve our quality but also will give us the quality control statistics we need in real time as opposed to after the fact.

Question. I was pleased to see in your written statement that you have implemented a program following EPA guidelines for the procurement of newsprint, printing and writing paper, paperboard, etc. I applaud this effort and am curious as to whether GPO has instituted a recycling program of its own to recycle paper and other waste products. If so, please provide a description of this program. If not, have you considered implementing such a program?

Response. GPO has a long-standing program for the sale of waste and scrap. GPO collects waste materials and makes them available to the highest bidders. In FY 1989, 12.3 million pounds of wastepaper, 350,000 pounds of scrap iron, and 253,000 pounds of scrap metal and dross were sold.

Question. Under your Congressional Printing and Binding Appropriation, you are requesting $3 million for preceding year obligations. Please provide the Subcommittee with a full explanation for this item.

Response. These obligations were incurred in FY 1988, when the volume of work in several categories of Congressional Printing and Binding exceeded estimated requirements by a total of $8 million. Although historical trends provide the basis for volume estimates for the comparable session of Congress, unusually heavy demand cannot always be anticipated. For example, we estimated 39,000 pages and $3.1 million for committee reports for 1988. Actual pages printed, including obligations as of September 30, 1989, were 126,000 costing approximately $5.5 million. The increase in committee reports is due primarily to the report on the Iran-Contra Affair.

GPO's annual appropriations language for the Congressional Printing and Binding Appropriation authorizes the payment of preceding-year obligations from current-year funds. This authority was used in FY 1989 to complete FY 1988 jobs.

GPO's FY 1990 original appropriation estimate for the amount of funding required to meet these prior-year obligations has since been exceeded. Approximately $3 million will be required in FY 1991 to meet outstanding prior-year obligations.

Question. You are requesting an increase for "Miscellaneous publications" under your Congressional Printing and Binding Appropriation. Why is this increase necessary?

Response. This category includes printed matter, such as the Congressional Directory, Senate and House Journals, memorial addresses, nominations, U.S. Code and supplements, serial sets, and publications not carrying a document or report number, such as laws, treaties and similar publications. The increase in miscellaneous publications in FY 1991 totals $610,000. A workload increase of 4-percent is expected due to the printing of the Congressional Directory and other publications which are printed only in the first session of Congress. This 2,000-page increase accounts for $142,000 of the additional funding requested.

Secondly, the unit rate has been restored to its full-recovery level for FY 1991. For 1990, rates were set below cost in order to achieve the mandated funding reductions. The unit rates also include the increase required to meet the rising costs of personnel compensation and materials. Overall, the unit rate adjustments account for $468,000 of the increase.

Question. Please explain to the Subcommittee why you are requesting an increase of almost $2 million in your "Miscellaneous printing and binding account."

Response. This category includes letterheads, envelopes, blank paper, wall calendars, miscellaneous services, blank forms, and binding for both Houses. The total increase requested in FY 1991 is $1,620,000, or 13.7 percent. Almost $1 million of the increase is required to restore the unit rates to the full cost-recovery level for FY 1991 production costs. The remaining $.6 million is needed to accommodate increased Congressional demand for computer paper and blank paper.

Question. Why is the request for "Details to Congress" over $1 million higher than the FY 1990 funding level? Please provide a description of the program as well.

Response. The printing and binding workload of many Congressional Committees and Offices is facilitated through the use of details, particularly now that dial-up composition is in use. Instead of preparing manuscript for pick up and processing through the Central Office production cycle, detailed printers can complete the text-editing process on-site through the dial-up system.

We estimate that 138,000 hours will be worked by employees detailed to Congress during FY 1991, based on 144,000 actual hours worked in FY 1989. The current estimate is 6,000 hours less than the latest actual data available. Estimated hours worked in FY 1990 have been reduced as one of the actions necessary to achieve mandatory budget reductions. The FY 1991 estimate constitutes a 6-percent volume increase compared to fiscal year 1990, requiring additional funding in the amount of $232,000. In order to recover actual costs, a unit rate increase totaling approximately $800,000 has been requested for FY 1991. The rate for details in FY 1990 was set below cost in order to achieve the mandated funding reductions.

Question. Your request for "Bills, resolutions, and amendments" represents about a $1.3 million increase over FY 1990. Why is this increase necessary?

Response. About two-thirds of the total increase, or almost $.9 million, is the result of the rate increase required to fully recover fiscal year 1991 costs. The FY 1990 rate was reduced as a result of mandatory budget reductions. The latest volume trends in this category of work indicate a 5-percent increase in fiscal year 1991, which will require additional funding of $410,000.

Question. Under your Congressional Printing and Binding Appropriation you are requesting an approximate $3.4 million increase for "Hearings." Why is this increase necessary?

Response. Hearings is the largest category of Congressional printing. In order to restore rates to full cost recovery in fiscal year 1991, the rate for the "Hearings" workload will be increased by about $3 million from the 1990 level. An anticipated 2-percent increase in the number of pages per hearing accounts for the remaining increase of $320,000.

Question. Under your Revolving Fund, you are requesting $5,000 for official representation and reception expenses. Please justify this expenditure to the Subcommittee.

Response. This request is necessary to allow the Public Printer greater economic flexibility to provide for the cost of essential activities that need to be conducted with printing industry and government officials in the furtherance of official GPO business, which otherwise are not authorized. This request seeks restoration of the funding level which was provided in FY 1989.

GENERAL ACCOUNTING OFFICE

STATEMENT OF HON. CHARLES A. BOWSHER, COMPTROLLER GENERAL OF THE UNITED STATES

ACCOMPANIED BY:

- **MILTON J. SOCOLAR, SPECIAL ASSISTANT TO THE COMPTROLLER GENERAL**
- **IRA GOLDSTEIN, ASSISTANT COMPTROLLER GENERAL FOR OPERATIONS**
- **JOAN M. McCABE, DEPUTY ASSISTANT COMPTROLLER GENERAL FOR HUMAN RESOURCES**
- **RICHARD L. BROWN, CONTROLLER**
- **VICTOR REZENDES, DIRECTOR, ENERGY ISSUES, RESOURCES, COMMUNITY AND ECONOMIC DEVELOPMENT DIVISION**

PREPARED STATEMENT

Senator REID. We are now going to hear from the General Accounting Office. The General Accounting Office request for fiscal year 1991 is $433.1 million and 5,200 average positions. This is an increase of $69.5 million, or 19 percent, and of 100 average positions over the fiscal 1990 level.

It is a pleasure to welcome you here. You are filling in for General Bowsher. We appreciate that. There is a prepared statement that will be included in the record.

[The statement follows:]

STATEMENT OF CHARLES A. BOWSHER

Mr. Chairman and Members of the Subcommittee: I am pleased to be here today to discuss our fiscal year 1991 funding requirements.

I want to begin by thanking you Mr. Chairman and this subcommittee for your support over the years. Without it we would not have been able to achieve many of the accomplishments that I will outline for you in a moment. I'm proud of our accomplishments. I am also proud of the progress we have made as an organization in developing and rewarding our people, and in providing them with first rate equipment and work environment. These are all vital in achieving peak performance, and continued progress is a high priority of mine.

GAO faces many challenges ahead in the work we do for the Congress, not the least of which is the quickly changing world political situation, and the resulting decisions that will have to be made by the Congress and others. Not only with respect to our defense posture, but also with respect to trade, international competitiveness, and a wide range of other domestic and international issues.

I want GAO to be there with the facts and analyses, when Congress needs them, and with your continued support, I'm confident we can do just that.

For fiscal year 1991 we need an increase in resources to continue to meet the congressional demand for GAO work. Over the last several years we have experienced a dramatic increase in this workload. In fiscal year 1989, we received a record number of requests from the Congress including a significant number of statutory requirements. Nearly every piece of major legislation, like the savings and loan bailout bill, directs GAO to perform oversight reviews and report our findings and recommendations to the Congress by established dates or over a defined period of time.

We have managed to handle this increasing workload without any increase in our staffing by redirecting resources from work done to satisfy basic legislative requirements and by implementing a number of initiatives aimed at achieving efficiencies through streamlining work processes and procedures. However, we have reached a point, complicated by the no growth Gramm-Rudman-Hollings environment, where we are stretched to the limits of our current resources. I am concerned that an increasing number of congressional committees and members may find our capacity to support their needs disappointing.

In some ways we are a victim of our own success. Our work has focused on significant national issues that face the Congress, and continues to be more responsive to congressional needs than ever before. This has led to a steady increase in the number of assignments we perform for congressional requestors. Without additional resources, we may need to distinguish more than we do now between congressional requests we can honor and those we cannot. In consultation with appropriate congressional committees, we are developing some criteria and priority setting guidelines to accomplish this. I will also discuss later in my testimony some productivity enhancements we have been working on to help in this area.

FISCAL YEAR 1989 ACCOMPLISHMENTS

Fiscal year 1989 was indeed a very productive year for GAO. Early in the year we issued 26 Transition reports for the Congress and the incoming administration. In a series of meetings with Committee Chairmen and staff and Cabinet members, we found substantial agreement that the issues we raised in these reports were of great urgency for the nation.

Including the transition reports, in 1989 we issued 881 audit/evaluation reports (mostly to congressional requestors), testified 217 times before congressional committees, and issued more that 3,800 legal decisions and opinions. I would like to add that no one else testifies before congressional committees more often than GAO except the Department of Defense. Also, we had 63 different individuals representing GAO as the primary witness during those testimonies. I think this demonstrates the depth of talent we have at GAO, and the extent of confidence the various congressional committees have in GAO witnesses.

The percentage of our work done as congressional requests remains high at over 80 percent, essentially unchanged from the past 2 years. The number of congressional assignments started, however, reached a new high in 1989 of 1,317—up 5 percent from 1988 and 10 percent from 1987. At any point in time, we are usually handling requests from over 200 committees and subcommittees as well as from over 450 members. I think these are telling measures of how useful Congress finds our work.

As a result of our work we contributed to legislative and executive actions that resulted in about $8 billion in measurable financial benefits. I would like to see this figure higher, and I have made monetary savings a priority for fiscal year 1990.

In addition to recommendations that result in measurable financial benefits, we also catalog nonmonetary accomplishments. The results of some of GAO's work produce many improvements in government operations and services that are difficult to quantify, but could yield large payoffs. Last year we had almost 150 documented instances of nonmonetary accomplishments in service to the public, which was 57 percent higher than in 1988, and 76 percent higher than in 1987. An example of a nonmonetary accomplishment is in the safety area. Despite the threat of losing highway funds, one-fifth of the states had refused to increase their minimum drinking age to 21. After GAO's work validated the life-saving effects from increasing the minimum drinking age, all remaining states and the District of Columbia raised their minimum drinking age. GAO's report was directly cited as a major reason for these actions. The Department of Transportation estimates that this change saved about 1,000 lives in one year alone.

HIGHLIGHTS OF FISCAL YEAR 1989 WORK

During fiscal year 1989 GAO made contributions that cut across all areas of national importance. The series of 26 Transition reports that we prepared in November 1988 were designed to help policymakers focus on the major policy, management, and program issues now facing the government. I would like to highlight some of these critical issues.

FEDERAL BUDGETING AND MANAGEMENT

The deficit crisis forces federal managers to emphasize short-term reductions at the expense of the long-range economic well-being of the nation. In economic terms, the deficit is destroying our ability to promote the savings that are necessary for future growth and prosperity. We now have a debt burden of about $3 trillion, and it is growing by about a quarter of a trillion dollars a year.

A related issue, and one we have reported on often, is the way social security and other trust fund surpluses, along with budgetary and accounting gimmicks, mask the real size of the deficit each year. The fact is that the deficit excluding trust funds is larger today than it was when the Gramm-Rudman-Hollings deficit reduction process was begun in 1986. The cost of the deficit in terms of interest charges and the resulting lost opportunities to do other things with that money is enormous. Last year, we once again recommended against the use of trickery in budget making and set forth an extensive proposal for restructuring the unified budget. We also reiterated the need for a comprehensive strategy to deal with the deficit.

The United States government does not currently have the internal control systems to effectively operate its programs and safeguard its assets. We issued our fourth major report in November 1989 on agencies' implementation of the Federal Managers' Financial Integrity Act. This act was passed in 1982 with the goal of improving government internal controls and accountability. Seven years later, this goal is largely unmet. For an example of this lack of progress, one only has to look at the HUD scandal that came to light this past year. Other examples of the results of poor internal controls include over $89 billion in uncollected debts or taxes owed to the federal government and over $29 billion in unneeded spare parts in Department of Defense inventories.

In our latest report, we made or reiterated to the Congress a number of recommendations aimed at improving the reporting of accountability and internal control weaknesses and at ensuring that corrective action is taken. We also urged the Congress to hold annual hearings on the actions of each of the 18 major federal agencies with respect to improving internal controls. In addition, we reiterated the need for legislation to establish a Chief Financial Officer of the United States, whose responsibilities would include development of a long-range financial management improvement plan for the government, and the need for annual preparation and audit of agency financial statements.

FINANCIAL INSTITUTIONS

In numerous testimonies, letters, and reports GAO urged that decisive action be taken to address the failing savings and loan industry. GAO played a major role in developing solutions to the thrift industry crisis, which were incorporated into the Financial Institutions Reform, Recovery, and Enforcement Act of 1989. The cost of the legislation will exceed $250 billion, of which an estimated $139 billion will be taxpayer funds (about $2,100 for every family in the United States). Savings and loans with more than $260 billion in assets will have to be dealt with. Questions remain with respect to whether regulators and the industry can rise to the occasion. GAO will continue to evaluate the industry and its regulation in the months and years ahead.

Also of concern is the government's exposure to similar risks under other programs such as direct federal loans amounting to $222 billion, federally guaranteed loans amounting to $550 billion, and other such federal programs, with an overall total exposure of $5 trillion. While not all of this exposure or risk will result in losses, GAO anticipates additional tens of billions of dollars in future losses in these other federal programs. In a November 1989 report we addressed needed actions in these programs including improved accounting and financial reporting, and audits of financial statements for each of them.

Our work in the securities markets influenced the Congress and the Securities and Exchange Commission to develop stronger efforts against insider trading. A GAO review covering automation of the Chicago futures exchanges may result in these exchanges developing an electronic audit trail system to focus on preventing and detecting trading abuses.

GAO's work has also influenced federal regulators to improve their operations. For example, as a result of GAO's work on check cashing, the Department of the Treasury is working with 3 groups on alternative ways to deliver government benefits. Treasury will test implementation of Electronic Benefits Services in 1990. When this project is completed in 1995, Treasury estimates it will save about $26 million annually.

DEFENSE

The national security environment is changing faster today than at any time since World War II. The implications of recent developments in Eastern Europe and the Soviet Union have yet to be fully absorbed. In this environment, Congress will be turning to GAO for answers to difficult questions.

Among other areas, GAO reported last year on the scope and expense of the American military presence in Europe; the expansion and training of reserve forces; the planned closure of military bases; the cost and status of major acquisition programs, such as the Navy's shipbuilding program and the B-2 Stealth bomber; and the operational and maintenance costs of new, high-tech weaponry, such as the B-1 bomber and the M-1 tank. For example, GAO's report on the Air Force's $31 billion B-1 bomber program stated that potential enhancements to the aircraft could cost an additional $7.4 billion.

Our work in manpower affordability identified a potential DOD budget savings of approximately $250 million through reduced civilian work-year ceilings at overseas locations. GAO's review of DOD's Five-Year Defense Program led to changes in DOD's calculation of growth rates and inflation estimates, and the removal of excess programmed funds. These changes could yield over $147 billion in reductions in the program through fiscal year 1994 and billions of dollars in future DOD budgets.

HEALTH CARE

Health care consumes 11.2 percent of our gross national product compared with 8.6 percent in Canada and France, and 6.1 percent in the United Kingdom. By 1995 this figure is expected to reach 13.4 percent of GNP. Not only have past cost control measures failed, some have made access to adequate health care more difficult. An estimated 31 million Americans lack health insurance, additional millions are underinsured, and many do not have adequate access to care. The fact that the United States has a higher infant mortality rate than 19 other developed nations, is a reflection of the problem.

Against this backdrop GAO issued a number of products last year which address health care cost control and access. For example, GAO testified on cutbacks in employer retiree health coverage, reported on financial admission criteria used by some hospitals for organ transplant operations, testified on the difficulty families of children with chronic illnesses often have in obtaining vital support services, reported on gaps in coverage in many long-term care insurance policies, and reported on the problems AIDS patients have in obtaining needed services due to shortages in care facilities or lack of insurance.

GAO identified several Medicare/Medicaid program areas in which congressional action could lead to financial benefits, such as: savings of $1.2 billion over 3 years by reducing medical education payments to teaching hospitals, potential financial benefits of $500 million annually from programs to recover the cost of Medicaid assistance, and potential financial benefits of $100 million annually from recovering savings bond assets owned by Medicaid recipients in nursing homes.

In addition, The National Cancer Institute held a 2-day session in November 1989 with more than 30 experts from around the country providing advice on how cancer treatment studies should be structured. Throughout this meeting, credit was given to a GAO report entitled "Breast Cancer: Patient Survival" as the major impetus for the meeting and studies that will emanate from it.

INFORMATION RESOURCE MANAGEMENT

The history of information technology management in the federal government is wrought with glaring examples of failure. Automated systems are often developed late, fail to work as planned, and cost millions—even hundreds of millions—more than expected. GAO's testimony and reports on the pattern of cost overruns and schedule delays of eight DOD automated information systems resulted in increased oversight of procurement by DOD and the Congress. Also, as a result of GAO testimonies and reports on the organization of the Internal Revenue Service, IRS established a Chief Information Officer reporting to the Senior Deputy Commissioner and having responsibility for information resources and technology management. In addition, our work on Federal Aviation Administration's (FAA) acquisition of the Advanced Automation System resulted in budget reductions and system acquisition cost reductions totaling $656.3 million.

The Social Security Administration, FAA, IRS, and DOD each have examples where vast sums have or are being spent on systems that fail to perform properly. As a result, taxpayers are not receiving the benefits promised by system developers, and federal managers are not getting the programmatic and financial information they need to make sound decisions.

Recognizing the scope of the problem GAO held a symposium this past year called "Meeting the Government's Technology Challenge" which brought leaders from industry, the executive branch, and the Congress together for the first time to explore ways to reverse this tradition of failure. The symposium resulted in recommendations for successfully implementing new information technology that will soon be published as a GAO special report.

NUCLEAR WASTE

The federal government has failed to properly manage radioactive waste. Today, we are faced with radioactive waste and other contamination that, according to GAO's estimate, may cost as much as $65 billion to clean up, and we may never know the total cost in health and environmental damage. To modernize the facilities and bring them into compliance with environmental laws may cost an additional $45 billion. Finally, to dispose of radioactive waste and decontaminate nuclear facilities another $45 billion may be required.

This is a long-standing problem. In over 60 reports and testimonies during the past 10 years, GAO has focused attention on the Department of Energy's management of the nation's nuclear weapons facilities. GAO pointed out as recently as November 1989 that Energy still does not know the extent of contamination at many of its facilities and, in fact, is not certain that it has identified all contaminated sites. A related issue which GAO testified on last year is the strong opposition to locating facilities for the permanent disposal of radioactive wastes and the environmental safety of such facilities. Although DOE issued its first 5-year plan to correct the nuclear weapon/waste crisis in August 1989, any permanent solution to this complex problem is years away.

GAO believes that proper oversight is a key element to ensuring that DOE stays fully committed to the successful implementation of this plan. Our current and anticipated congressional request workload should continue GAO's role as a major participant in such oversight.

DRUGS

According to public opinion polls, drug abuse ranks as the most serious problem facing the United States today. In 1988 the federal government devoted $1 billion to demand reduction and more than three times that amount, $3 billion, to supply reduction. The fact remains, however, that the war on drugs is not being won. Only a fraction of the drugs smuggled into the country are intercepted.

Addressing the nation's drug problem is a costly, long-term commitment. Therefore, it is imperative that the President and the Congress fund and emphasize antidrug programs that are effective. Unfortunately, we are hampered by the absence of good information. Better information on program success and measures of program effectiveness are needed if we are to understand what works best and direct our resources accordingly. For example, we need better information about drug treatment programs—their methods, success rate, and clientele.

GAO has been very involved in the debate over antidrug policies. The appointment of the first Director of the Office of National Drug Control Policy represents the implementation of a proposal first made by GAO in 1979. In addition, GAO's past and present work on drug interdiction—one of the largest components of the federal antidrug effort—was reflected in the President's National Drug Control Strategy. The strategy, first issued in September 1989 recommended holding the line on drug interdiction spending, a position GAO proposed for consideration by the Congress in a June 1989 report, in which GAO raised concerns about future funding on air interdiction programs.

On January 25, 1990, the President issued the second National Drug Control Strategy. While this strategy proposed increased funding for all aspects of the war on drugs including interdiction, these additional funds will be used to complete and integrate existing interdiction systems. The strategy continued to recommend that no new systems be initiated and did not increase spending on interdiction disproportionately to other elements of the strategy.

At present, GAO's work includes evaluations of both the immediate impacts of the drug crisis and of longer-term programs with the potential to alleviate the problem over time. This work is focusing on both the supply and demand side of the drug problem. One goal of GAO's future work will be to evaluate the effectiveness of the Office of National Drug Control Policy in planning, implementing, and coordinating the Strategy's components. GAO plans to continue to assist the Congress as it seeks to make the difficult spending decisions and will continue investigating possible options which may lead to progress in solving this very serious problem facing our nation.

These are examples of GAO's work in fiscal year 1989. If time permitted, I would share many more issues with you.

IMPACT OF FISCAL YEAR 1990 SEQUESTER

I want to reemphasize that GAO could not have been able to conduct much of this work without the support of this subcommittee. Even with that support, however, we are finding that a budgetary increase can be eroded very quickly. For fiscal year 1990, the current budget year, we received an approximate $17.4 million increase. Out of that increase we have had to take about $5 million as our share of this year's Gramm-Rudman-Hollings sequester. We have also had to take an additional $1.6 million cut as our share of the war on drugs. Last, we have had to absorb about $7.2 million for the January 1990 federal pay raise. Together these cuts reduce the $17.4 million increase by $13.8 million, leaving an effective $3.6 million increase to cover mandatory payroll costs, inflation, increased mission work, and necessary facility renovation efforts. Obviously, we will not be able to accomplish what we had planned to accomplish. We plan to take the major impact of the reductions by extending the schedule on planned facility renovation efforts and by making some reductions in other areas.

OPERATIONAL EFFICIENCIES

Following the committee's direction in last year's bill report, GAO is evaluating the impact of ADP technology using specific performance criteria for incorporating microcomputers, local area networks, and mainframe processing into our operations to improve efficiency. This is in concert with our rolling 5-year information resources management planning process. Full integration of the current plan will dramatically alter every phase of our work flow and will yield improvements in the overall efficiency, quality, productivity, and timeliness of our work.

Use of modern technology by GAO continues to be one of my highest priorities. Reflecting the priority I have assigned to this area, we remain on target with our goal of procuring 4,300 microcomputers by 1991. We also have a pilot project evaluating network or shared resource technology which involves two major divisions and one region. In 1991 this project will include an evaluation of printing and production technology. I have recently appointed Kevin Boland, one of my key senior executives from our line divisions, to head up the effort to improve end user support and information resource management. In the administrative area, we are continuing to integrate our systems at the National Finance Center (NFC). To date we have converted to the NFC our payroll, personnel, and supply systems. This year the property system will be converted, and next year time and attendance will be converted.

We are conducting tests to determine how contractors can help produce efficiencies and can help in supporting our audit and evaluation work. We now have contractors involved in selected tasks that previously would have been conducted by GAO employees, but which do not involve any inherent governmental functions or judgments. We plan to evaluate the results by comparing the quality, cost, and timeliness of contractor tasks. Right now we have about 50 different tasks scheduled for contracting, and later in 1990 we will be reporting on how they turned out and our recommendations for how to proceed in this area.

In recognition of the central role of each employee in achieving operational efficiencies, we have an active program designed to elicit, study, and implement ideas from staff throughout the organization to improve the efficiency and effectiveness of GAO's work. This Operations Improvement Program (OIP) provides for the recognition and reward of individuals who submit beneficial suggestions that result in further operational efficiencies. Examples of projects tested in 1989 that show significant potential include: use of computerized work papers, enhancing the use of graphics in GAO products to improve message delivery, freeing staff from routine questionnaire survey tasks through the use of contract services, and savings in mailing costs through the use of bulk mailing. In 1990, all divisions and offices are developing OIP plans for experimenting with ways to improve product development and processing. Our belief is that through concerted GAO-wide attention we can realize some notable changes in an area that concerns all of us.

In order to achieve peak performance from our human resources, we have embarked on a concerted effort to make sure we manage our people well. This is particularly important since 76 percent of our financial resources support our people. Our human resource goals were the focus of this year's GAO management conference. We want to hire the best staff, train them well, give them challenging work, provide first rate equipment and work environments, reward those who excel, and treat everyone fairly. We have already made substantial progress in each of these areas. For example:

Our Campus Executive Program and other recruiting efforts are producing top notch applicants and new hires.

Our Training Institute is becoming a model for the rest of the federal government.

The work we are doing, as I discussed earlier when I summarized our accomplishments, is I think some of the most challenging work the federal government has to offer.

I also discussed earlier our efforts to provide needed ADP equipment, an important resource. Ownership of the GAO building now gives us direct control of our work environment and, as you know, we have begun a major renovation program to remove asbestos from the building. Our GAO fitness center just opened and our child care facility is scheduled to open this summer.

Rewarding those who excel has become a reality this past year with implementation of a performance system for evaluator and evaluator-related positions. Pay for performance bonuses last year ranged from $700 to $4,000. With this change, we can now tie performance to rewards in a very meaningful way.

Part of treating people fairly means recognizing the opportunities that a diverse work force presents, and how best to manage such a work force. We are making "managing people" an important skill for our managers to master.

It is important to note that we have been active in seeking and implementing ways to meet our human resources needs to make our operations more efficient and to enable GAO to work more effectively, so as to maximize the return on the resources we receive from the Congress. Recently, we decided to close a number of our regional suboffices. These closings will result in greater flexibility in staffing jobs, in enhanced training and career paths for staff that will be in larger offices, and in better job supervision. Our policy is to make available every consideration legally possible for employees affected by these decisions, including transfer at government expense, early retirement for those who are eligible and so desire, and assisting in locating alternative employment for the people who choose not to transfer to another geographic location.

FISCAL YEAR 1991 REQUEST

As you can see, we have accomplished a great deal since our last hearing. We are anxious to maintain the momentum and continue to provide high quality services to the Congress. To permit us to do this we are requesting $427,248,000 to fund 5,200 average positions in 1991, and authority to use $5.9 million in funds paid to GAO by Labor's Bureau of Labor Statistics and Treasury's Financial Management Service for their share of costs as tenants in the GAO building.

This represents a $69,151,000 increase over the fiscal year 1990 appropriation for salaries and expenses, less the sequestration, and a $351,000 increase in funding from the special account. Over half the increase from fiscal year 1990 ($35 million) will go to mandatory pay increases and related costs, and to inflation in costs for existing levels of service. We need this amount just to maintain our existing level of capability.

Another $28.5 million is needed to provide the staff, services and equipment such as consultant and expert services, travel, and microcomputers needed to maintain our ability to respond to the increasing congressional workload with quality work in a timely manner. Also included in this figure is funding to maintain our program of asbestos removal and renovation of GAO's facilities to handle those technological advancements that will further enhance our effectiveness and efficiency.

The remaining $6 million is needed to fund the costs associated with 100 additional average positions. The additional positions will bring the total GAO staffing closer to a level at which we can provide the kind of coverage of government programs needed by the Congress.

Of the 100 average positions, 35 will help us identify and report mismanagement, fraud, and abuse in federal programs such as those uncovered at HUD. Another 35 will help us examine the effect on U.S. interests stemming from the profound, recent changes in the worldwide political, military, and economic structure. The remaining 30 will be split between coverage of domestic banking and securities issues, and health and safety issues such as nuclear waste disposal, health care costs, and the nation's air traffic control system. It should be noted that we have not had any meaningful increase in staff resources since 1985, yet our workload has increased substantially.

I would like to expand somewhat on our plans in the mismanagement, fraud, and abuse area. We have identified 14 areas to date that we think have very high potential for this kind of activity. Examples include excess inventory managed by the Department of Defense, management of Superfund contractors by EPA, Medicare fraud and abuse, the Student Loan Insurance Fund, the Pension Benefit Guaranty Corporation's management of Title IV of the Employee Retirement Income Security Act, disposal of failed Savings and Loans and their assets by the Resolution Trust Corporation, and uncollected receivables of IRS. Our plan is to focus, in conjunction with agency managers and inspectors general, on the root causes of longstanding weaknesses, develop approaches to solving them, monitor agency corrective actions, and recommend any legislative action necessary to ensure that corrective actions are taken.

Other priorities for which funding increases are needed include travel, training, ADP equipment, facility renovation, consultants and contractors, and a new digital telephone system.

In the travel area we need to restore funds for our managers to properly supervise work that is being done in the field. In fiscal year 1990 the price level increase in authorized travel funds that the Committee provided has been substantially lost due to the sequestration. As a result, we are losing some of our ability to give jobs closer field supervision by our managers and recognize that some productivity may be sacrificed.

We have also been enhancing training in technical areas, such as in the information resource management area and for our executive education program, to improve our ability to conduct complex analyses. Increases in this area total $417,000 above the 1990 level of $2.7 million.

In the ADP area we are requesting a total increase of $7 million above the 1990 level of $18 million. GAO is at a point where significant increases in funding for ADP are necessary if we are to continue to support the technology that has already been introduced into the agency and if we are to continue to introduce other efficiency-enhancing technology. The bulk of the increase will go to supporting the three levels of processing involved in mission work, which I discussed earlier: microcomputers, shared resource architecture, and mainframe computing. This capability will permit us to do things we have not been able to do in the past.

For building renovation we are requesting an increase of about $10 million above the 1990 level of $15.5 million. The increase will permit us to continue to remove asbestos from our headquarters building and to make other modifications. As regions and audit sites are required to move, these offices are being upgraded as well.

As I discussed earlier, we are now conducting tests where we contract for selected kinds of tasks in support of our audit and evaluation work. We anticipate such contracts will enhance our efficiency and complement our ongoing emphasis on using consultants and other experts in audit and evaluation work that is highly technical. We are requesting an increase of $1.5 million to permit greater usage of consultants and contractors in support of our work.

Our planning for the 1992 tri-annual conference of the International Organization of Supreme Audit Institutions (INTOSAI) continues, and we are at a point where we need a contract to help us prepare for hosting this tri-annual meeting. Our current estimate is that this conference will cost in the range of $3.7 million due in part to the need to provide five-language translations for the delegates and other unique logistical requirements of an international conference including security services. Fiscal year 1991 costs for INTOSAI will be about $400,000, and much of this will support a governing board meeting hosted by GAO in October 1991. This will be the first time GAO will host this international conference since INTOSAI was organized in 1953. Most other major countries have hosted this conference.

During the past year, GAO has continued its joint efforts with the Architect of the Capitol and heads of legislative agencies to identify and meet common telecommunications needs. Current plans call for the acquisition of more cost effective long distance voice communications. In this regard, we are scheduled to start conversion to a commercial long distance carrier in February 1990. We are also coordinating with the Architect of the Capitol on the acquisition of a local digital telephone system for the Washington, D.C. area. We have submitted a detailed statement of our technical requirements to the Architect of the Capitol for his review and approval. Funding for this project in fiscal year 1991 will require an estimated increase of $5.3 million to acquire the new digital telephone system. Although this is a significant one-time cost, we foresee substantial improvement in cost management as well as significant improvements in our ability to do our work for the Congress.

CONCLUSION

I want GAO to continue to address the tough issues facing our country and the Congress with quality products, delivered in a timely fashion. Our record of accomplishments, I believe, speaks to the return on investment, both monetary and nonmonetary, that we are capable of delivering. Such a return requires continued investment however. Our most important asset is our people and that is where continued investment is paramount. The support provided to GAO by this subcommittee in the past has been excellent, and it has allowed us to make significant progress. I hope we can continue to have your support in the future.

This ends my formal statement, Mr. Chairman. I am pleased to have this opportunity to respond to your questions.

INTRODUCTION OF ASSOCIATES

Senator REID. I would like you to introduce everyone at the witness table. I would appreciate it if you would give a brief summary of your testimony.

We have some problems with time, as is normal. I have some questions that I feel are important to ask. So if you would proceed by introducing your people at the table, we will get right into the meat of this.

Mr. SOCOLAR. Thank you, Mr. Chairman. On my left is Ira Goldstein, who is our Assistant Comptroller General for Operations. On his left is his deputy, Joan McCabe, and on my right is Richard Brown, who is our Director of General Services and Controller.

Senator REID. It would have been embarrassing if you couldn't remember his name, wouldn't it?

Mr. SOCOLAR. I know if the Comptroller General were here, he would want to tell you how much he appreciates, as indeed all of us at GAO do, the support that you and the committee have provided to him and to the General Accounting Office.

We are proud of the progress that we have made in developing and rewarding our people and in providing for them an institutional and organizational environment that makes for a productive approach in the work that they do. We are striving constantly to be of maximum assistance to the Congress. We try to achieve this by issuing timely and meaningful reports on issues that matter.

Fiscal year 1989 was a good year for GAO. We issued 881 reports. We testified before committees and subcommittees of the Congress 217 times. We issued 3,800 legal decisions and opinions. More than 60 individuals were involved in the testimonies that we provided.

We have done all this even though we have not grown as an organization while the demand for work of increasing complexity has, as the problems we face as a nation become more complex.

We continue to do about 80 percent of our work for the Congress. We deal with approximately 200 committees and subcommittees and 450 Members of Congress at any particular time. I think these are telling measures that suggest we are serving the Congress well.

The Comptroller General has arrived.

Senator REID. General, are you ready for questions?

Mr. BOWSHER. Yes, we are, Senator.

Senator REID. Do you want to finish your statement?

Mr. SOCOLAR. Well, I was just going to finish reviewing the kind of year that we have had, pointing out essentially that despite our successes over the past several years, we are beginning to feel the pinch. We have taken a lot of steps to make ourselves more efficient. We have strong office improvement programs. We have done a lot with ADP and computerization. We are closing our less productive offices; we have a strong campus executive program to assist us in our recruitment, as well as a training institute that is fast becoming a model for organizational training within the Government.

We want to continue our record of assistance to the Congress and make GAO a really premier agency in the Government that serves the Congress and the American taxpayer well and merits the support that you have shown us in the past.

I will stop there.

Senator REID. General, do you have anything you would like to add?

MEASURABLE ACHIEVEMENTS

Mr. BOWSHER. I would just like to add a couple of things to what Mr. Socolar has said. If you look over a 5-year period from 1985 to 1989, comparing similar years, too, our total products are up from 852 to 1,300. In other words, we have improved our productivity that much. Our number of testimonies is up from 117 to 217.

So by closing some of these more inefficient offices, by changing our product line, by just working a little harder, I think the GAO people have done a tremendous job in the last 5 years for the Congress.

The overall measurable financial benefits that we calculate each year are more than $100 billion for the 8 years that I have been in office. The people at GAO most of who were there when I became Comptroller General are really outstanding. The payoff has really come in these last few years, and I think we will be able to continue.

We really appreciate the help that your committee and the House committee have been able to give us on these budgets. I know these are tough budget years with the Gramm-Rudman process, but you people have been very, very supportive, and I think we have tried to respond by giving you more products on bigger and more important issues every year.

Senator REID. It is too bad that the other Members of the Senate and the House don't have the opportunity that I have to deal with the various agencies that appear before legislative branch appropriations.

The General Accounting Office is perhaps the best example of how important these little agencies are to the efficient operation of the Congress because I think that many people spend a long time back here and really don't understand their importance and how little agencies cost. We get so much bang for the buck, so to speak, with these different agencies. So it has been a real eye-opener for me to have the opportunity to chair this subcommittee.

You can independently act on many issues without pressure from me or Chairman Dingell or anybody. The country has benefited from this independence. For example, the hearing I just held on another subcommittee that I chair dealt with lawn chemicals.

Mr. BOWSHER. Oh, yes.

Senator **Reid**. The report that the General Accounting Office did there stimulated enough interest that USA Today yesterday devoted its entire editorial pages to that one issue, and that was based upon the request that I had given to you——

Mr. **Bowsher**. That is correct.

Senator **Reid** [continuing]. To do a study on lawn chemicals. So the work about which we are engaged is important, and sometimes we fail—in the rush to catch airplanes and to accomplish all we need to do—we fail to realize that.

I want to spend a little time this morning before I catch one of those airplanes talking about the work that you have done over the years on DOE's management of the Nation's nuclear weapons facilities.

Bring the committee up to date on your more recent findings and any recommendations that you might have on how best to address this problem, and if, in fact, there are any interim solutions.

NUCLEAR WASTE DISPOSAL

Mr. **Bowsher**. Vic Rezendes is with us today. Vic is the director at our organization that has done most of this work in recent years. It is an important area; it really is. It is the one area next to the savings and loan area that during the next few years worries me the most.

Mr. **Rezendes**. The problem is staggering. We have been in this area for a long time, and we like to draw analogies between the cleanup of the DOE facilities and the Superfund cleanup.

In the Superfund area, we saw that the Environmental Protection Agency had a lot of sites to clean up, but we found that the more they learned about the sites as they got into cleaning them up, the more costly they became. We are seeing the same scenario at the Department of Energy.

They have approximately 3,100 sites throughout the country right now. We are estimating cleanup costs of roughly $100 billion. If you add the modernization costs, we are talking about $155 billion. We think that is just the beginning.

Once you start actually characterizing sites and using more advanced technologies to clean them up, those costs will probably increase in the next 20 to 30 years.

YUCCA MOUNTAIN SITE

Senator **Reid**. Has the General Accounting Office been asked to provide any updates on issues involved in the Yucca Mountain nuclear waste repository site?

Mr. **Rezendes**. Yes; we have been doing quite a lot of work at Yucca Mountain. As you know, one of the concerns is the delay in getting the site characterized. Some of the concerns have related to Nevada's not providing permits.

Senator **Reid**. Excuse me 1 second.

Mr. **Rezendes**. Sure.

[Pause.]

Senator **Reid**. Would you start over?

Mr. **Rezendes**. Sure. One of the concerns has been the lack of permits from the State of Nevada to allow the characterization of

Yucca Mountain. We issued a report last month, on March 2, looking at the delays and their causes.

We found that one of the major delays is the lack of quality assurance in DOE's program to determine how it is going to characterize. To give you a little background, the Nuclear Regulatory Commission has responsibility for licensing the repository. To do that, DOE needs to have in place an adequate quality assurance program for each phase of the Yucca Mountain development, including the characterization. Just on the characterization phase alone, nine quality assurance plans will be involved.

DOE has not established adequate quality assurances to NRC's satisfaction, and it probably won't until August or some time this fall. As a result, the issue of Nevada's not giving DOE permits probably didn't have any impact because even if it had the permits, it wouldn't have the approval from NRC to proceed.

SITE CHARACTERIZATION

Senator **Reid**. What additional problems does this present? The State of Nevada is not issuing permits. On the other hand, you have the quality assurance program that is not on target.

Mr. **Rezendes**. The quality assurance has to be in place and approved by NRC before DOE can characterize the site, and it gets rather complex. For example, in just drilling the shaft to do some experiments needed to characterize the site, one of the problems with DOE is that the information needed to characterize the site is going to be derived from that shaft.

However, DOE has not submitted adequate design information to NRC that it needs to determine whether the type of shaft they would build would, in fact, yield the information that DOE needs to characterize sites during the next couple of years.

Senator **Reid**. Then does this mean more delay?

Mr. **Rezendes**. Oh, yes, the delays—DOE has already announced a delay of 7 years.

Senator **Reid**. Thank you very much.

NUCLEAR WEAPONS PLANTS

Mr. **Bowsher**. This nuclear waste is such a terrible problem. I was out at Rocky Flats earlier this year, and then I stopped to see the Governor of Colorado. He is really up on this issue. As he said, he wants to be cooperative with the Federal authorities because he recognizes the importance of what Rocky Flats does, but he said he is under so much pressure from his constituents and, of course, all the States that are involved in this are.

We are going down to Savannah River this coming week. I have never been down there; my team, of course, has many times. But I truly see this whole area as one of the really big, big issues that the administration under Admiral Watkins is just beginning to come to grips with.

The previous administration finally realized how bad this situation is, but they surely let it fester, I believe, for many, many years. It was one about which GAO did 50 to 60 reports over 10 years, but it wasn't until we finally were able to quantify and put the dollar figure on it that we seemed to get people's attention. In the meantime, it was building and building and building.

NUCLEAR WASTE ABROAD

Senator **Reid**. I have two questions on this issue. One is: Why don't we hear anything from a country like France, which has so many more nuclear electrical generating facilities than we do?

Mr. **Bowsher**. I think they are storing theirs at their sites.

Mr. **Rezendes**. Well, they have a different process than we do.

Mr. **Bowsher**. Yes.

Mr. **Rezendes**. They reprocess their nuclear waste. We chose not to do that in this country.

Senator **Reid**. That is what we would have done at Clinch River.

Mr. **Rezendes**. That is correct, and the reason we chose not to was basically for nonproliferation reasons because the plant produces a high-grade uranium and plutonium, which can be used for weapons-grade input into nuclear bombs.

But the French also, although they reprocess, which reduces the volume of their waste, still do not have a repository. They are still working on that; so are the Germans and the Japanese.

Senator **Reid**. They have an MRS?

Mr. **Rezendes**. Right; they store it above ground.

REPOSITORY SITE COST-BENEFIT ANALYSIS

Senator **Reid**. The other question I have is: Have there been any studies to determine the cost benefit of having a single repository, compared to what the original act did?

Mr. **Rezendes**. I am not aware of any cost-benefit study.

Senator **Reid**. There has been legislation introduced and there have been some scientific reports that maybe we would be better off using the dry-cask storage, which is a method for storing on site, and just leave it there and not worry about transporting it. Has any work been done on that?

Mr. **Rezendes**. We haven't done any, but there have been other studies done.

Senator **Reid**. Thanks a lot.

Mr. **Rezendes**. Sure.

PAY-FOR-PERFORMANCE SYSTEM

Senator **Reid**. The pay system change is the biggest single item for GAO as an organization.

Mr. **Bowsher**. Yes.

Senator **Reid**. So why don't you just tell me a little bit about the pay system and why that is the single largest item, and what we can do to understand this a little better?

Mr. **Bowsher**. Yes; what we have started and are moving toward is a pay-for-performance system. We have not been able to grow during the last 15 years. We are the same size, around 5,000 people, and every year we only have a limited number of promotions. What we wanted to do was to reward our people who work so hard with pay, especially the people who have done outstanding work.

So we have studied this. We studied it, I guess, Joan, about 5 years before we went——

Ms. **McCabe**. It was quite a few years before we went forward.

Mr. **Bowsher**. Quite a few years before we finally went forward, but we went forward last year, and I must say the first year has worked very well. It will take us about 3 years before we know if we will have the success we hope for.

But Joan McCabe, who is with us today, is the one who has headed it up under Ira, and I think she can give you just a quick summary.

Senator **Reid**. Are you aware of the news accounts today?

Ms. **McCabe**. Yes.

Senator **Reid**. So it is very timely.

Mr. **Bowsher**. Yes; it is.

Ms. **McCabe**. Yes, very much so.

Senator **Reid**. Is the new program that the President and the Office of Personnel Management announced today similar to yours?

Ms. **McCabe**. Well, most of the focus on the program that I have seen thus far in the newspaper accounts is on locality pay. Our pay-for-performance system did not address that issue.

WORK FORCE LOCATION

Senator **Reid**. Well, most of your people are here anyway.

Ms. **McCabe**. Well, a little more than one-half are in Washington and the rest are in the regions.

But we recognized that locality pay was a much broader issue.

Senator **Reid**. Tell me about the other offices because I had forgotten since last year. How big are the other offices?

Mr. **Bowsher**. They run between 100 and 150 employees and are located in 14 cities. We also have an office in Frankfurt, West Germany, where we do our work in the Middle East, Africa, and Europe, and we have a small office in Hawaii where we do our work in the Pacific and Asia that use to be located elsewhere in the Pacific. My predecessor brought it back to Hawaii because of the currency changes and things like that.

Senator **Reid**. That is where you send the people to punish them, to Hawaii.

Mr. **Bowsher**. Right. At one time we were going to send them to Duluth, but we never did that. [Laughter.]

COMPONENTS OF GAO PAY SYSTEM

Ms. **McCabe**. Our pay-for-performance system has two basic components. First, merit increases are permanent pay increases comparable to within-grade increases in the GS system. Our permanent pay increases are tied to merit or performance as opposed to longevity or seniority, which is the case with within-grade increases under the GS system.

The second component is the bonus component. It is different from anything in the executive branch. Our bonuses range from 2 to 7 percent and are awarded to up to 50 percent of our staff for performance in the prior year. That is the portion, as the Comptroller General mentioned, that we instituted last year.

The process worked. We set up an assessment system where staff were rank-ordered based on their performance appraisals as well as a management assessment of their contributions to GAO, GAO's mission, service to the Congress, et cetera. Those factors were used in deciding who would get the bonuses.

IMPACT OF PFP CHANGES

Senator **Reid**. What happens to the 50 percent who get nothing.

Ms. **McCabe**. Well, as you can imagine, there was some disappointment. There were more people who assumed that they were going to get the bonuses than actually did. This has been a year of change. When you introduce a system where you give variable pay increases to some people and not to others, it introduces a new element.

There was anxiety within the structure. But we hoped to make distinctions between our really top performers and other performers. We think a bonus helps motivate. It is an attractive feature in attracting people to the system and retaining them. Basically, we are rewarding people who are really producing for us, and we think that is important.

Senator **Reid**. Who makes the decision as to bonuses and as to promotions?

Ms. **McCabe**. The managers of our units make both of those decisions based on input from management panels. They are not making decisions in isolation. The unit heads get bonus lists and they get promotion lists, and then they make the ultimate choices.

Senator **Reid**. One of the big problems we have in government at all levels is how to get rid of people who aren't performing well. Within the GAO, are there methods of getting rid of people?

Mr. **Bowsher**. It is basically informal. In other words, we counsel everybody once a year, and if we feel that somebody is not performing and does not have promotion potential, we try to tell them that they might want to consider a career somewhere else.

We have many people who go on and become very successful. I think GAO is a great training place for Government people because it gives them an insight into how the Congress works.

I might point out our turnover rate is very low. We don't have a lot of people leaving GAO. But if we feel somebody is not able to do the work or not willing to put in the effort to do the work, I think what we should do is explain to them that we think that they have a problem, and we would like to help them with it.

At the same time, that was a difficult message sometimes to get across before we went to pay-for-performance. Pay-for-performance puts money into the personnel system, and I always say it makes the personnel system real at that point.

Senator **Reid**. Are there any other Government agencies that do this at this point?

Mr. **Bowsher**. There are two experiments that the Navy did at China Lake and in San Diego, and the CIA actually came and studied our system before we ever implemented it.

Senator **Reid**. Did you know they were there? [Laughter.]

Mr. **Bowsher**. Yes; we did. And I believe they have implemented a system, and there are quite a few other Government agencies that are looking at our system. In fact, I also can tell you that one of the universities now has decided to come and look at our system because it sees some similar problems with its system that we had lived with for many years.

Ms. **McCabe**. What we did, in addition to changing our pay system to a pay-for-performance basis, was move away from the GS system to a broad-banded classification system.

PERFORMANCE-BASED BONUSES

Senator **Reid**. Explain that to me a little bit. It is my understanding that the top band has about 15 percent of your people in it, is that right?

Ms. **McCabe**. The top band, band III, would be a little less than that; about 11 percent of the evaluator and evaluator-related staff are in band III.

Mr. **Goldstein**. Mr. Chairman, let me clarify for you that the top group of bonus recipients is about 15 percent of our eligible staff, but that is a different type of grouping than what we are speaking about here.

Senator **Reid**. Oh, I see.

Mr. **Goldstein**. We have split the staff up, instead of GS–15's and 14's and 13's, to positions where we have a top band of staff we call our managers.

Senator **Reid**. And that is about 11 percent?

Mr. **Goldstein**. That is about 11 percent, and they used to be at the GS–15 level. Now, they are no longer 15's; they are called managers. The middle band of our people who used to be GS–13's and GS–14's are now our supervisors, and they are in what we call band II.

Senator **Reid**. How many people are in that one, percentagewise?

Ms. **McCabe**. Band II is the largest group. We have approximately 50 percent in band II. Band I contains about 38 percent.

Senator **Reid**. And their salary ranges would be within each band?

Ms. **McCabe**. Yes; band I would be the former grades 7 through 12. Band I goes from about $21,000 to about $47,000. Band II, which is the senior supervisory level, goes from about $43,000 to $65,000, and band III, which is the management level, goes from there—there is a little overlap. It ranges from about $59,000 to about $77,000.

Senator **Reid**. General, you came late. I am going to let you leave early to make up for it.

Mr. **Bowsher**. Well, thank you very much, Mr. Chairman. Again, I would like to express our appreciation to you and the committee for the support you have given us over the years.

Senator **Reid**. You haven't seen what we are going to do this year yet.

Mr. **Bowsher**. Well, that is true. I hope it will be a good year.

Senator **Reid**. We have some questions we want to submit to you in writing.

Mr. **Bowsher**. Sure.

Senator **Reid**. Get back to us in a couple of weeks on those.

Mr. **Bowsher**. Yes.

EFFECT OF SEQUESTERS

Senator **Reid**. The thing that I thought was so unfair last year was the sequester. If you take the Library of Congress as an example, the sequester just really wreaked havoc with the Library of Congress, and I am not sure they will ever pull out of what has happened to them with this sequester.

Mr. **Bowsher**. I think most people don't realize how this sequester, if it is done in a series of years here, 2 or 3 years, will devastate any organization. I went through it when I was Assistant Secretary of the Navy in the late sixties at the Pentagon. It wasn't called Gramm-Rudman in those days; it was called something else. But it can devastate an organization.

Senator **Reid**. That is sure the truth.

Mr. **Bowsher**. Yes.

ADDITIONAL COMMITTEE QUESTIONS

Senator **Reid**. So we understand what you have to go through. We appreciate your being here this morning. Your associate filled in very well.

Mr. **Bowsher**. He always does.

Senator **Reid**. Thanks a lot.

Mr. **Bowsher**. Thank you.

[The following questions were not asked at the hearing, but were submitted to the Office for response subsequent to the hearing:]

ADDITIONAL COMMITTEE QUESTIONS

GAO Budget Request

Question. How do you reconcile your rather large budget request with the need to deal with the deficit?

Response. Our budget request for fiscal year 1991 represents the funding needed to continue to make improvements designed to allow GAO to better meet the congressional need for high quality, timely work. We realize it is a large increase, but we believe that GAO's work is important to congressional efforts to deal with the budget deficit and, thus, it is important to keep the agency operating at a maximum level of efficiency and effectiveness. To illustrate, last year we contributed to legislative and executive actions that resulted in about $8 billion in measurable financial benefits--a return of about $20 for every dollar invested in GAO.

At the same time, we are fully aware of the funding limitations the subcommittee faces this year. As usual, we plan to work closely with you to develop a final budget for GAO that meets our resource needs within the overall fiscal constraints faced by this subcommittee and the federal government as a whole.

Staffing

Mr. Bowsher, you are asking for 100 additional average positions again this year. I believe this is the fifth year you have asked for this increase. In the prior four years we have not been in a position to provide them and quite frankly prospects for this year are not good.

Question. What exactly is an average position?

Response. An average position is equal to 2,080 hours of work in the course of a fiscal year. In other words, the total number of staff hours worked divided by 2,080 equals the total number of average positions used by GAO in a year's time.

Question. Would you please explain the difference between average positions and positions? What basis do you use to compute salaries and benefits funding?

Response. Under position management the number of authorized positions acts as a ceiling and limits the ability of an agency to increase its workforce, albeit temporarily, above that ceiling to compensate for variation in retention of employees. Whereas, average positions equate to the total number of hours staff are actually employed during a fiscal year. In estimating the amount of salaries and benefits funding needed for its permanent staffing, GAO bases its calculations on the number of average positions authorized.

I'd like to know why you need them and what is the impact if we are unable to provide them. For example, you state that 35 of these additional positions will be used to help GAO identify and report mismanagement, fraud, and abuse in federal programs.

Question. What areas are you targeting this work in?

Response. GAO has selected the following 14 areas for special attention because of their potential for mismanagement, fraud, and abuse.

1. Resolution Trust Corporation - The management and disposal of approximately $200 to $300 billion of thrift assets will pose unprecedented management problems.

2. Internal Revenue Service Receivables - The existence of accounts receivable in excess of $60 billion, which have grown about 300 percent since 1980, makes this a significant issue due to the potential for losses.

3. Management of Seized and Forfeited Assets - This issue has been characterized by mismanagement which has been the subject of considerable press attention. Responsibility for managing the program rests with the Customs Service and the U.S. Marshals Service.

4. Medicare Questionable Claims - Identified payments of $527 million by Medicare in 1985 that should have been paid by private insurance carriers illustrate the magnitude of potential savings.

5. ERISA/PBGC - The Department of Labor's and IRS's enforcement of ERISA has a significant impact on ensuring that employee benefit plans are free of mismanagement, fraud, and abuse that place plan assets at risk and threaten the benefits of plan participants.

6. Guaranteed Student Loans - The large number of banks, state agencies, and schools participating in guaranteed student loan programs coupled with poor control systems used to protect the federal government's financial interest creates the potential for significant abuses and losses.

7. State Department Real Property Management Overseas - Corrective action over the years has been minimal, but recently the State Department has begun to show an interest in addressing these issues.

8. DOD Inventory Management Systems - The current pressure to reduce the DOD budget in response to recent world events provides additional incentives to make major improvements in the inventory supply system.

9. DOD Major Systems Acquisition - The total estimated cost of major systems currently being developed or produced exceeds $900 billion. DOD continually buys higher cost systems which exceed estimates, are not delivered on schedule, and do not meet requirements.

10. NASA Contract Management - Since it will spend $11 billion in 1990 on contracts GAO will examine NASA's decentralized contract administration process.

11. Farmers Home Administration Loan Programs - FmHA has made billions of dollars of credit available to the nation's farmers. Delinquent farm loans amount to $11.1 billion, or 48 percent, of the agency's $23.3 billion in outstanding loans as of September 30, 1989.

12. Superfund Enforcement and Contractor Oversight - The Congress has authorized $10 billion for the Superfund program but estimates of federal funds needed to complete the cleanups are many times that amount. GAO will explore cost and conflict of interest and whether EPA uses its full authority to compel private party cleanup.

13. Urban Mass Transportation Administration Grants - UMTA currently manages active grants totaling $30 billion with over $3 billion in new grants each year. The issue at UMTA is limited project oversight due to a lack of staffing.

14. Department of Energy Contractor Oversight - The Department has had a history of inadequate contractor oversight and bonus awards to contractors in situations that would appear to be highly questionable. GAO will examine DOE's potential for improvements in control, accountability, and efficiency.

Question. Are you doing any work in these areas now? If so, how many positions are you using?

Response. We have a total of 74 jobs either ongoing or planned to start in the next several months which will utilize an estimated 250 average positions.

Question. If we are unable to give you additional positions, what happens?

Response. The effect of not receiving the additional positions is not so much that work in critical areas would not be performed, as it is that such work may be more difficult to do as well and as quickly as it should be. Increasingly, we are forced to defer work we are requested to do because of staff shortages or to conduct such work with less staff than is really needed to do the job in a thorough and timely manner. The additional positions will permit us to more effectively address critical material issues and to do so in a more timely manner.

Question. Have you issued any reports in the last 2-years on mismanagement, fraud, and abuse in highly vulnerable federal programs?

Response. Every year GAO issues reports that identify mismanagement, fraud, and abuse in federal programs. Most of these high risk areas were identified as a direct result of the extensive work GAO has completed in prior years. Some of these reports are "Fraud: Characteristics, Sanctions, and Prevention at Agriculture, Labor and GSA" (AFMD-88-34BR, June 23, 1988), "Financial Integrity Act: Actions Needed to Correct Internal Control Weaknesses" (IMTEC 89-11, May 9, 1989), and "Financial Integrity Act: Inadequate Controls Result in Ineffective Federal Programs and Billions in Losses" (AFMD-90-10, November 28, 1989).

Effect of Across-the-Board Budget Reductions

Question. GAO had to absorb across the board cuts as did the other legislative agencies. How did you absorb the two sequesters? What effect has this had on your operations?

Response. In order to comply with the President's sequestration order and the across-the-board sequestration required to fund the federal war on drugs, GAO had to reduce its appropriation of $364,720,000 by $5,055,000 and $1,568,000, respectively. The Gramm-Rudman sequester was absorbed by reducing the amount of funding for GAO's facilities improvement program by $3.655 million and by reducing funding for travel and other miscellaneous accounts by $1.4 million. The war on drugs sequester was absorbed by not allocating the full number of staff years that the Congress had authorized and funded. The cutbacks in our facilities program will defer to a future year some of the projects planned for modernizing the GAO building. The reduction in travel will reduce the presence of supervisors in headquarters at job sites in the regions and in the scope/duration of some assignments. Every effort will be made to minimize any adverse impacts on congressionally requested work.

Budget Deficit

Congressman Rostenkowski has proposed a freeze on agency budgets as a way to help deal with the budget deficit.

Question. What would happen if we held GAO's budget at the FY 1990 level of funding?

Response. Of GAO's requested increase in FY 1991, over half ($35.0 million) is for mandatory pay and related costs and price level increases. GAO needs this amount just to maintain its existing level of capability. If held at the 1990 level, we would have to halt our asbestos abatement and modernization program in the GAO building, postpone acquisitions of badly needed ADP equipment for use by our evaluators in doing their work, postpone the procurement of a digital telecommunications system which would result in better management of telephone equipment and translate into long-term avoidance of installation and transfer of telephone switching equipment, and reduce all travel and services accounts below the fiscal year 1990 level which would adversely impact the ability of the agency to complete some of its congressionally requested work and reduce its productivity.

Most critically, such an absorption would require a staffing reduction, which would greatly hamper the agency's ability to provide timely service to the Congress.

New Pay System (Pay for Performance)

GAO has been in the process of developing and implementing a new pay system for the last 2-years. We are all aware of the theoretical advantages of pay systems linked to performance. You are one of the few agencies that have actual experience with developing and implementing one.

Question. Would you briefly explain the differences between the old and new pay system?

Response. We were formerly under the General Schedule (GS) system in which pay raises (within grade increases) were based primarily on time in grade, given successful performance. These within-grade increases were fixed in amount (3.3 percent of the base salary for the grade) and staff had to wait up to 3 years to receive them, depending on their position in the salary range. Under our new compensation system, staff are assigned to 3 broad bands rather than GS grades. They can earn salary increases ranging from 0 to 6 percent of band base salary based primarily on each employee's performance and contributions to the home unit and to GAO, and partly on position in the salary range. All staff will have the opportunity to earn these permanent salary, or merit, increases each year.

Last year, we implemented a bonus system in which, each year, up to half the staff can earn lump sum bonuses from 2 to 7 percent of the band base salary.

Question. How does such a system work in actual practice?

Response. Other agencies have had PFP systems for some time, called the Merit Pay System (MPS) and the Performance Management and Recognition System (PMRS). As you know, the Navy has had two demonstration broadbanded PFP systems, at China Lake and San Diego, California for almost a decade, from which we drew several ideas. So ours is really not that new.

Thus far, we have experience with only half of our PFP system--the bonus component. Our assessment process worked smoothly, with about half our staff earning bonuses averaging about $1,600. Our managers felt they had the flexibility and the funding to reward the best performers much more generously than was possible under our old system.

It is too early to say how staff have responded. After we implement the permanent pay, or merit increase component this year and evaluate the outcomes, we will be able to better respond to this question.

Question. How far along are you with implementation of the new system?

Response. This will be the first year we award merit increases in permanent pay and the second year of bonuses. We have established the amounts that staff can earn based on different levels of performance and contributions. We developed the assessment process last year when we implemented the PFP bonus component for the first time, and have made very minor improvements to certain aspects of the system. We have published merit increase tables, and have scheduled briefings for all staff beginning late this month.

Question. How much does this system cost in comparison to the old system?

Response. GAO implemented the initial phases of its Pay-for-Performance (PFP) system with bonus payments at the end of fiscal year 1989 to evaluators, evaluator-related specialists, and attorneys who were judged to be in the upper half in performance excellence during the year and the conversion of these three groupings of employees into three broad bands in October 1989. In fiscal year 1991 all PFP employees will be eligible to receive merit increases within their bands. Merit increases are designed to replace the in-grade increases that are paid to employees in General Schedule (GS) positions. The amounts paid will vary dependent upon how an individual's performance is judged. Those with highest ratings will get the top rate of increase, etc.

BOC Description	Without PFP	Change	With PFP
Fiscal Year 1990			
11.1 Personnel Compensation	$223,979,000	$1,021,000	$225,000,000
11.5 Other Personnel Compensation	1,901,000	1,960,000	3,861,000
Fiscal Year 1991			
11.1 Personnel Compensation	248,341,000	1,800,000	250,141,000
11.5 Other Personnel Compensation	2,613,000	1,960,000	4,573,000

In addition to the funds needed to meet our budgetary requirements for the pay-for-performance plan, the fiscal year 1991 estimate for Other Personnel Compensation includes $608,000 for the incremental cost of extending PFP-type bonuses to GAO's administrative professional and support staff.

Question. How much of an increase would an employee get if he/she were promoted from one band to another?

Response. This depends on the person's position in the salary range for the band. At the minimum, we guarantee the staff member an increase of 10 percent of the previous band base salary or the base of the next band, whichever is greater.

Under the old system, employees were eligible to receive cost of living increases, promotions, and within-grades.

Question. What types of salary payments are employees now eligible to receive?

Response. All staff will continue to receive full cost-of-living (comparability) increases, which are not performance-based.

Staff who have a year in their band are eligible for promotion to the next band, with increases as described above. Promotion opportunities are announced centrally to fill identified needs, and are competitive.

All staff will be eligible each year to earn merit increases ranging from 0 to 6 percent of the band base salary.

In addition, all staff covered by PFP are eligible each year to earn bonuses ranging from 2 to 7 percent of band base salary. While these are not salary increases, they are attractive short term rewards for good performance and contributions.

Question. What percentage of staff are eligible for permanent pay increases?

Response. 100 percent of staff covered by PFP are eligible. However, we estimate that up to 7 percent of the staff will not receive permanent pay increases each year.

Most current staff were converted directly from the GS system and are covered by a pay protection provision which guarantees them annual pay increases at least as large as they would have received had they remained in their old GS grade. Therefore, initially, the number of staff receiving no permanent pay increases will be less than 7 percent. Over time, as fewer staff are covered by pay protection, the percentage receiving no increase will approach 7 percent.

Question. How do you estimate the amount of funding needed for permanent pay increases?

Response. We determined the number of staff in each of the salary groupings within each band, and multiplied each of those numbers by 15 percent, 70 percent, and 15 percent, respectively to estimate the number of staff who would be getting specified increases. We then multiplied these staff numbers by the specified dollar increases for each grouping, and summed the results.

Question. What do you hope to achieve through this new system?

Response. We have several objectives in mind for our PFP system. First, we wanted to base rewards on performance and contributions rather than longevity, and to vary the size of the rewards. We have accomplished this.

Second, we wanted to increase the number of winners among the staff over our previous system, which provided cash awards of up to $750 to 12 percent of our staff. With 51 percent of our staff getting bonuses last year, this goal too has been realized.

Third, we wanted to continue to attract and retain high quality staff to handle our increasingly complex work load. We designed our system so that new staff can progress faster than under the GS system to aid in attracting good staff. As yet, we do not have enough data to determine if the qualifications of new staff have changed since the introduction of PFP—or if there is attrition attributable to PFP. We are collecting this data as part of our ongoing evaluation of the system.

We also wanted to increase the dialogue between managers, supervisors, and staff concerning performance management, and let staff know where they stand with their managers. We have been quite pleased by reports of increased communications along these lines.

Question. What impact, if any, has the new pay system had on the organization, i.e., particularly on staff morale?

Response. Last year, we were able to reward far more staff than ever before with bonuses. As a result of our new broadbanding classification system, which was implemented concurrently with PFP, our managers have been able to use staff more flexibly without being constrained by GS grade designations. We believe this will improve our ability to construct customized teams to do our work.

Because the system involved a major organizational change, there was naturally a great deal of employee concern over it. Also, since half the staff did not get bonuses last year, there was probably some negative impact on the morale of those staff who may have perceived themselves as losers.

We are currently analyzing a baseline employee attitude survey we took before PFP was implemented, and will be conducting a similar "post-PFP" survey in the fall as part of our system evaluation. The survey results may shed light on any changes in staff morale.

Question. Does the pay system apply to all GAO staff?

Response. At present, PFP applies to all evaluator and evaluator-related staff (such as accountants, computer scientists, etc.), and to our attorneys—about 70 percent of the agency's population.

Question. Fifty percent of the staff covered by the new pay system received bonuses. How did you determine the appropriate percentage? Are we to assume that 50 percent of your staff are doing superior work?

Response. We believe that most of our staff are doing superior work, and that this is reflected in the timeliness and quality of our products. Handling an increasing workload despite generally static staffing levels is due to our ability to attract and retain superior staff. Moreover, the qualifications of our new staff, hired from some of the best universities in the country, are remarkably high.

Regarding the placement of the 50 percent line, we wanted to reward as many of our staff as possible within available funding. We felt that giving bonuses to more than half the staff might give them the appearance of being an entitlement rather than a reward for superior work.

Question. How do you determine the amount of the bonus pool?

Response. Each unit is given a bonus budget to distribute. The budget is calculated using a formula that derives a weighted average bonus for staff in each band, and multiplies the resulting figure by the number of staff in each band in the unit. Summing these products then yields the bonus pool for the unit.

Question. Recognition of superior performance through salary increases is but one way to motivate employees. What other kinds of initiatives are you implementing to elicit peak performance from your staff?

Response. In addition to the attractive monetary rewards we have made available each year, we have taken numerous other steps the past few years to improve training, computer and support equipment, and working conditions for our staff. In addition, according to our employee survey, our basic work for the Congress is in and of itself motivating.

We have developed a first class training facility in the GAO building, and a wide ranging curriculum for our staff. We have also instituted a requirement that all our evaluator and evaluator-related staff obtain at least 80 hours of training credits every 2 years.

We have, thanks to your support, continued to upgrade our computer resources for our staff, and plan to continue this trend. Our goal is to provide each of our professional staff access to a personal computer. In 1989 we purchased about 700 microcomputers, and plan for 400 more in 1990, and 500 more in 1991. This area remains a high priority.

We have significantly upgraded our regional office space in 10 of our 14 regional offices. Staff in these regions enjoy professional working conditions second to none in the federal sector. We plan to upgrade space in the remaining 4 regions in the next few years, funding permitting. We are also planning significant upgrades to our headquarters building, with a goal of moving most of our professional staff currently at audit sites back into first class conditions in our building within the next few years.

In addition, we have constructed a new day care facility in the building for children of our employees, as well as a fully-equipped fitness center. Opened in November 1989, our fitness center now serves about 600 employees.

We feel strongly that all these measures will help to attract, motivate, and retain the high-quality staff we need to do our work.

Question. How do you plan to measure whether the system is meeting its objectives?

Response. We will perform an evaluation program that will include analysis of PFP statistics regarding payouts, a series of employee attitude surveys, exit interview data from those leaving the agency, and data on new staff. We look forward to these analyses to show how we are doing.

Question. Have you encountered any problems in implementing the system, and what changes have you made to overcome them?

Response. Administratively, the system worked very smoothly. We converted almost 3,000 staff from GS to broadbands, calculated and paid out pro-rated within grade increases, conducted the first run of our new assessment process, and paid out almost 1,500 bonuses on time and to my knowledge, without error.

We have evaluated the results of the first cycle, and conducted interviews with unit managers and groups of staff in all units. Based on these evaluations, we have made some changes for this year. The biggest change was providing more flexibility to managers in drawing the bonus lines. We have updated and revised guidance on the assessment process, made minor changes in the way staff are notified of the results, and clarified the feedback that is available from the process.

Question. Can you offer any advice based on your experience to other agencies planning to implement such a system?

Response. It's essential to get staff and managers involved in the development of the system, and to inform all staff of progress along the way. In developing our system, we used 11 teams consisting of almost 200 staff and managers. Each team worked its way through the questions and issues surrounding a variety of topics (i.e. awards, pay progression, assessment, etc.) and formulated position papers that were reviewed by a sounding board of SES managers.

Throughout the development phase, as major decisions were made, we briefed staff on a regular basis. We published explanatory memos and articles in GAO's Management News, circulated position papers to staff and employee groups for comment, and made revisions as necessary based on those comments. We believe that our staff had the opportunity to express their opinions on virtually every component of the PFP system, and we considered their opinions in the final program design.

Office of Technology Assessment (OTA)

We had the OTA up last week for their budget hearing and one of the topics we discussed was why OTA is a separate agency. In general, OTA's work seems to be concentrated on highly complex, technological issues; however, a number of the projects they are proposing to do seem to overlap with GAO work.

Question. How is the work GAO does in areas involving technological issues different from the work OTA does?

Response. OTA was established in 1972 to help the Congress address complex issues involving science and technology. With the specific mission of providing the Congress with the best factual information and best available thinking on science and technology issues, OTA convenes an advisory panel of outside experts, for the most part under contract, for every assessment it undertakes. On the other hand, GAO's work is carried out primarily by federal employees. We rely extensively on our network of field evaluators, supported by expert contractors when necessary, to develop new information, analyze data, and make recommendations to the Congress.

Over the years, extensive coordination procedures to prevent duplication of effort have been implemented such as creation of the Interagency Coordination Committee and the Research Notification System.

Question. Would it make sense for OTA to become a division of office within GAO?

Response. As indicated in my previous answer, in establishing OTA, the Congress gave it a specific mission. We have studied neither OTA's mission nor the potential impact of incorporating it into GAO. However, as my previous answer also indicates, GAO's and OTA's roles, operating procedures, and organizational "cultures" are substantially different. Therefore, we would have to closely examine the issue before giving you any definitive answer on the merits of bringing OTA into our organizational structure.

The cost of OTA's office space has increased tremendously over the last few years and we may need to direct them to look for a lower cost alternative.

Question. In this connection, does GAO have sufficient space to house OTA?

Response. At present, there is not enough office space available in the GAO building for OTA. We are in the process of removing asbestos and modernizing the headquarters building. Current plans are for the work to be complete in 1996 at which time we plan to move GAO employees now housed at various sites around Washington back into the main building.

Transportation

I know from my recent experience on a transportation conference we held that you use both Washington and field staff in many areas.

Question. Can you explain how Washington and the field staff coordinate work in substantive areas?

Response. Field staff play an important part in GAO's planning process because of the expertise they have developed. Key regions working in an issue area participate in planning conferences used in developing issue area plans and annual work plans. Field staff are also frequently involved in working with congressional requesters on new assignments.

Field staff work closely with headquarters staff from the conceptual design of a job to report issuance. They are key participants and often take the lead role in job planning including kickoff conferences, one-third point conferences, and report message conferences. Also, field staff help prepare and present testimony on jobs where they have the expertise.

GAO is experimenting with locating headquarters management staff responsible for directing certain areas of our work in regions where a significant amount of work is done in the issue area. The agency is also trying to take greater advantage of field staff issue area expertise by identifying "prime" regions for each issue area which will do the bulk of the field work for that area.

Question. With regard to transportation, what are some of the major issues?

Response. The foundation of the Nation's transportation system is the infrastructure--highways, bridges, airports, ports, waterways, rail lines, and other fixed facilities. This system, with its overburdened capacity, is deteriorating rapidly due to inadequate maintenance and inefficient uses. In some cases expanded capacity is necessary, in others better management can provide solutions. Some of the major issues in the transportation area are as follows:

Aviation Safety

- Hiring and training of aviation work forces (air traffic controllers, maintenance technicians, and inspectors). Efforts to hire, retain, and train critical safety work forces while encouraging, are falling short of expectations and needs.

- Aviation security - Although significant resources are being directed toward research and development in thermal neutron activation technologies to detect explosives, attention must not be diverted from other research efforts on explosive detection equipment.

- Aging aircraft - This nation has the world's oldest civil aviation fleet in the free world. FAA needs to focus attention on the repair station industry, which faces rapidly increasing demands to keep the aging fleet safe.

Airspace and Airport Capacity Management

- Air traffic control system modernization (National Airspace System (NAS) Plan)—now estimated at $27 billion is taking much longer than planned and costing more than originally estimated. Due to these continuing delays, FAA faces serious problems in management of increased capacity needs and is forced to find interim and perhaps more costly solutions.

Competitiveness

- Increased competition from foreign carriers - As a consequence of European economic restructuring, the geographically insular United States will be subject to new competitive pressures from foreign airlines. In 1992, barriers between European countries will likely disappear, and airline companies there may face fewer restraints, but—paradoxically—U.S. airline companies may face new restrictions in their ability to serve overseas markets.

Surface Transportation Infrastructure and Mass Transit

- Highway and Bridge needs are staggering. As the Congress prepares for the 1992 reauthorization of the Highway Trust Fund, it will be grappling with new funding and management issues. The interstate highway system has been the main target of the trust fund; however, with the system almost completed, maintenance of this tremendous investment and other highway and bridge needs significantly outstrip the resources available to the fund. The Department of Transportation (DOT) estimates these needs at between $475 and $550 billion to complete the interstate system and maintain 1985 conditions.

- Highway Congestion - Highway congestion continues to be a major problem in urban areas and a growing problem in developing rural areas. We must define the federal government's role in encouraging research into "smart" highways and other innovative solutions to these problems.

-- Management of urban mass transit grants - UMTA program oversight has been identified by the FIA process and GAO's and OMB's risk assessment process as having vulnerability to waste, fraud, and mismanagement.

Other Offices

I see from your organization chart that you have an Office of Special Investigations.

Question. How is the work of this office different from that of your audit divisions?

Response. The Office of Special Investigations (OSI) investigates matters approved for investigation by the Comptroller General involving allegations of fraud and abuse in government programs, activities, and functions, or requiring advanced investigative skills and expertise. Requests for investigations originating from Committees, Committee Chairs, Members, and the Comptroller General typically involve matters related to (1) conflicts of interest, (2) ethics violations, (3) contract and procurement improprieties, and (4) other official misconduct. OSI serves as the focal point within GAO for fraud detection and referral, participates in the development and presentation of fraud awareness training courses, serves in a liaison role between GAO elements and the law enforcement community, and reviews and comments on GAO policy involving investigative matters and techniques.

I also notice that you have an Office of Chief Economist.

Question. What does this Office do and why is a central office of economists necessary?

Response. The Office of the Chief Economist (OCE) provides advice and guidance to the Office of the Comptroller General on economic matters and helps assure the quality of economic analysis work undertaken throughout GAO by providing technical assistance on individual assignments, reviewing draft products, and assisting in long-term efforts to increase GAO's economic analysis capabilities. OCE helps resolve economic issues that arise in the planning, implementation, and reporting of GAO assignments and undertakes independent assignments on a highly selective basis. OCE also has a leadership role in providing economics training in GAO.

In addition to OCE, several GAO divisions have internal economic assistance staffs of economists who specialize in specific issue areas.

Executive Pay Raise

Question. Please explain why you need $2.8 million for an Executive Pay Raise (How many Positions? What are the raises?)

Response. Section 703, Salary Levels of Senior Government Officials, of the Ethics Reform Act of 1989 directs that the salaries of executives in the three branches of the federal government shall be raised by 25 percent beginning on the first day of the first applicable pay period that begins on or after January 1, 1991. This section of the law applies in GAO to the Comptroller General, the Deputy Comptroller General, the General Counsel, and members of GAO's senior executive service.

The effect of this raise on the salary of the Comptroller General will be an increase from $96,600 in 1990 to $120,800 in 1991. The Deputy Comptroller General position, which is currently vacant, rises from $89,000 to $111,300. The General Counsel and other GAO executives at the ES-8 level rise from $83,600 to $104,500. While GAO has not officially determined what it will pay to the other levels of its executive schedule, an estimate of the impact of this raise was developed on the assumption that one of the effects of this raise would be a reduced rate of attrition among executives and that this reduction would force use of a reserve of unfilled positions in order to meet management goals for the agency. The following chart shows how this raise was estimated.

GAO ES Level	FY 1990 Salaries	Estimated FY 1991 Salaries
1	$ 284,800	$ 336,000
2	687,600	818,100
3	2,744,000	3,293,500
4	4,134,000	5,002,400
5	1,529,500	1,865,800
6	896,500	1,102,200
7	82,600	102,400
8	1,086,800	1,358,500
Comp. General	96,600	120,800
Deputy Comp. General	89,000	111,300
Other SES	483,000	589,200
PAB General Counsel	78,200	84,570
Total	$12,192,600	$14,784,770

Building Renovation

Question. You have been renovating the GAO Building. Would you update the committee on what you have accomplished thus far?

Response. Under GAO's modernization program many projects have been accomplished. These projects include removing asbestos from the 1st, 7th, and part of the 2nd floors; awarding a building management contract; developing a prospectus for complete renovation of the GAO building; modernizing the east half of the 7th floor; completing the fitness center; and developing an interior design concept for the GAO building. As leases expire in our regional offices and we are faced with forced moves to other locations, we are providing the same type of modern environment for our regional staff as is being provided to our headquarters staff. Consequently, modern office environments have been completed for the regional offices in Boston, Philadelphia, Kansas City, Dallas, Cincinnati, Denver, New York, and Chicago.

Question. What is the schedule for the remaining work?

Response. Due to P.L. 101-239 reductions, fiscal year 1990 funding for the modernization/renovation program has been reduced, thus deferring to a future year some work that was originally planned for fiscal year 1990.

The fiscal year 1990 funding is planned for use on the following projects:

-- First Floor Renovation
-- Daycare Center
-- Mechanical Plant - HVAC Upgrade (Partial)

Fiscal Year 1991

The FY 1991 request will permit complete asbestos removal and restoration of one floor of the GAO building. Also, included in the request are funds to continue the upgrading of the mechanical plant in the GAO building.

Fiscal Year 1992 through 1995

The fiscal years 1992 through 1995 requests for the facilities program will permit further asbestos removal and restoration of one floor of the GAO building each year. Also, the estimates will include funds to complete most of the modification requirements to the building mechanical systems and funds to complete the modernization of one regional office each year.

Question. What is the estimated total cost of this project?

Response. The construction cost of this project from fiscal years 1989 through 1995 is estimated at $82.6 million. In addition, there are costs for the purchase and installation of carpeting, ADP equipment, office systems furniture, and other office equipment that will result in a total project cost of around $100 million.

Question. What do you plan to do during FY 1991 and how much is in your request for this project?

Response. We have included a total of $25,481,000 in the 1991 appropriation request for operation and maintenance of the GAO building and for asbestos removal and subsequent modernization of the headquarters building. The amount of funding requested is about the same as what we would have paid to the General Services Administration in rent for fiscal year 1991 plus the funding in the Special Receipts Account that is paid to GAO by agencies occupying space in the building. The funding requested for fiscal year 1991, if approved, would permit the completion of the equivalent of one floor as well as the next phase of the upgrading of the mechanical plant in the GAO building.

GAO Work

You are requesting an additional 35 average positions to examine the effect on U.S. interests stemming from worldwide political military and economic restructuring.

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Question. How many positions are you using for work on international security, trade, finance, competitiveness, international relations and defense?

Response. The National Security and International Affairs Division is currently using 1,020 average positions, which represents about 25 percent of GAO's audit and evaluation effort, to support its work on international security, trade, finance, competitiveness, international relations, and defense.

Question. What will the additional positions enable you to do that you are not already doing?

Response. Additional resources would allow us to implement our plan to address the key issues related to changing East-West relations. This additional body of work would be completed on a timetable that would assist U.S. policymakers in the decisions they face in adjusting U.S. programs and policies to the new security, political, and economic environment.

You are also requesting 15 average positions to do additional work in the financial markets area.

Question. What are the major issues in domestic banking?

Response. Among the major issues in domestic banking are issues of reform of the federal deposit insurance system, the issues of appropriate powers and authorities for commercial banks in the modern financial world, and issues of designing regulatory authority and control for banks that allow them to function efficiently but safely.

Question. How many people do you currently have working in the financial markets area?

Response. The following table summarizes the staff years that we have programmed to use in the financial institutions and markets issue area in 1990.

Division	Headquarters Staff Years	Field Staff Years
GGD	65	50
IMTEC	8	12
NSIAD	5	3
Total	78	65

These staff years are used to evaluate activities of banks, thrifts, farm credit institutions, credit unions, securities firms, insurance companies, and other financial players and their regulators.

Question. What additional work needs to be done that can't be done unless you are given additional positions?

Response. We do our best to program the work that we feel is most vital to support congressional decision-making and oversight. With more staff, we would examine the enforcement of new rules that have tightened operating requirements for banks and thrift institutions to reduce the likelihood of their failure. We would expand our work on consumer protection issues. We would also probably increase our efforts to evaluate the management capabilities and effectiveness of the financial institution regulatory agencies.

You are requesting 15 additional average positions to handle domestic safety and health issues such as FAA's air traffic control system, nuclear waste disposal, and health care cost control.

Question. How many positions do you currently have devoted to these areas?

Response. Our FY 1990 allocation for the Transportation issue area is 139 staff years in total. Thirty-four staff years are planned to be spent specifically in the airspace and airport capacity management area. This area encompasses our FAA air traffic control system work, among other aspects of aviation.

Our FY 1990 allocation for the Energy issue area is 138 staff years. Twenty staff years are planned to be spent on nuclear waste management work.

Currently, HRD has 77 staff assigned in the issue areas of Health, National Public Health, and Direct Delivery Service and 8 staff assigned to the Worker Protection area.

Question. What work will you do that you are not now doing if you are granted the additional positions?

Response. The cost of air traffic control modernization is now estimated at about $27 billion. We do most of our work in the modernization area for the House and Senate Appropriations Committees. Three key factors lead to our staffing request in this area. First, the Administration is proposing a 70 percent increase in FAA's capital spending over the next five years. Second, the National Airspace System Plan has experienced such substantial schedule slippage that interim projects are being proposed to sustain the system until the current program can be put on track. Third, FAA will send to Congress later this year a new multi-year capital modernization plan to replace the existing National Airspace System Plan.

In addition to reviewing the new plan, much of our work will be focused on particular modernization elements, like integration of weather systems and the $500 million "interim" plan to compensate for slippage in the modernization effort. Other work will take a broader look at FAA's facilities and equipment budget for Spring 1991 testimony (an area where we identified about $100 million in savings last year), reliance on contractors for system engineering and other services, hardware purchases, and installation of modernization equipment. Until the air traffic control system is modernized and even after that, FAA will face serious challenges in airspace management. Accordingly, we will be examining various alternatives to make more efficient use of airspace, including increased civilian use of airspace and airports reserved for the military and new air traffic control techniques.

In the area of nuclear waste management we will place increasing attention on the long-term effort to address DOE's internal controls over the nuclear waste program. We will continue to review the reasonableness and effects of DOE's decision to stretch out site characterization at Yucca Mountain, as well as continue evaluating DOE's management of program costs. We expect increased interest in DOE's management of defense nuclear waste. In addition, some shift is anticipated in our weapons complex work, from determining the extent of problems to evaluating DOE's cleanup and environmental restoration efforts.

The additional health care control positions would help in responding to 20 unstaffed congressional requests. The requests, ranging from 1 to 6 months old, are focused at issues dealing with Medicare and Medicaid programs and studies on health care cost. In addition, another area requiring attention is worker protection issues related to safety and health and the OSHA alternative.

You have detailed plans for use of the additional 100 average positions.

Question. Are these the highest priority issues you need to deal with in fiscal year 1991?

Response. GAO's goal of assisting the Congress by identifying ways to better manage federal programs is served by increasing its staffing resources. The issue areas selected are all highly focused and demand as strong a GAO audit presence as possible. The 100 additional average positions are planned for use as follows:

- 35 to help GAO identify and report mismanagement, fraud, and abuse in federal programs, such as that uncovered in 1989 at HUD. Based on prior work and knowledge and information from other sources, GAO has initially targeted 14 highly vulnerable areas for review and plans to report findings and recommendations to the Congress. We also will be reporting on weaknesses which could make a program vulnerable to problems in the future.

- 35 to examine the effect on U.S. interests stemming from worldwide political, military and economic restructuring. This will affect work on international security, trade, finance, competitiveness, international relations, and defense.

- 15 to allow GAO to increase its coverage of domestic banking and securities issues and to program additional work in the domestic and international equities and futures markets areas, and the Resolution Trust Corporation's management of assets from failed savings and loans.

- 15 to respond to growing congressional interest in domestic safety and health issues such as the Federal Aviation Administration's air traffic control system, nuclear waste disposal, and health care cost control.

Question. If you do not get additional positions, how will you perform this work?

Response. Many of these important areas were identified by GAO through its strategic planning process for additional emphasis, and we will make every effort to pursue them within our existing budget. But these areas are also receiving intense congressional interest and pressure for us to accelerate our efforts. This occurs at a time when our congressional work load in all areas is the highest in our history and when our backlog of congressional requests is growing. Without the staff year increase, therefore, we expect these priority areas to proceed more slowly and for our responsiveness to Congress in these and other important areas to be somewhat slower than we would like. Although an organization the size of GAO has some flexibility to redeploy resources, we have much less flexibility than in the past, because our resources are already stretched thin--for example, productivity in terms of reports and testimony increased by 23 percent and 35 percent respectively between 1987 and 1989 without any increase in our staffing level. Every indication is that the demand for our work continues to grow while further productivity increases may be much more difficult to achieve.

ADP

Question. GAO is trying to introduce and capitalize on the current ADP technology. Can you explain to the committee what your plans are in this area?

Response. In and beyond the 1990s, GAO wants to establish an environment characterized by the full integration of information systems. When this environment is in place, it will dramatically alter every phase of our work flow and yield clear improvements in the overall quality, productivity, and timeliness of our work.

Our plans are to install a network that will allow access--on a carefully defined and managed basis--by all levels of the organization on relevant aspects of an assignment at appropriate times from any location. This will dramatically improve the sharing of information as well as facilitate substantial improvements in management of the substance of the work.

We have set FY 1993 as the target for accomplishing our networking goals. A pilot project has been initiated involving several GAO headquarters units and a regional office to begin testing network operations.

The GAO network will provide other benefits as well. It will give evaluators the capability of directly accessing existing public, private-sector, and GAO-created data bases to obtain information needed to develop or support GAO work. It will also allow GAO to improve its analysis through early continuous assessment of evaluation results and through increased ability to create graphic representations of data. Finally, it will improve the efficiency of report writing, review, and final production.

Question. How are you integrating your regional office in your ADP modernization effort?

Response. In the area of ADP modernization, GAO makes no distinction between units in headquarters and in its regional offices. Its end-user requirements model applies equally to all units and has established a consistent base of workstations throughout the agency. In addition, as facilities are modernized, GAO installs an identical wiring plant in each location, a plant which will serve as the infrastructure for the network that will ultimately link all GAO locations. When it is procured, that network will be consistent in each location.

Question. The Surveys and Investigation Staff was reviewing GAO's plans in the ADP area. Were there problems? If so, have they been solved?

Response. The Surveys and Investigations Staff raised two primary concerns with GAO's Shared Resources Pilot: 1) Pilot plans and initial development was "bottoms up" with too little direction from GAO management; and 2) the pilot was not directly focused on GAO's mission; i.e., it was unclear how the use of minicomputers and a computer network could improve GAO's work. The Shared Resource Pilot was directed towards developing job-related applications for GAO evaluators using a minicomputer based network.

This concern has been addressed in several ways:

> Mr. Kevin Boland has been appointed as Director of the Office of Information Resources Management. Mr. Boland brings 27 years of direct line experience to the job and will assure that GAO's ADP efforts are directed towards meeting mission objectives.
>
> Mr. Jack Brock has been appointed as Director of the Shared Resources Pilot and will also continue to serve as an issue area director in our IMTEC division. Mr. Brock's appointment provides a line management, mission oriented perspective to the pilot as well as a link to available technical resources within IMTEC.

Lastly, the Pilot is now operating under a work plan which focuses on developing specific network-based applications for three key areas of GAO's work--workpapers, indexing and referencing, and report review and processing.

Question. As you upgrade your technological capabilities, and staff are able to communicate electronically, will this serve to reduce your need for travel?

Response. While the very real potential exists that electronic communications will offset some travel requirements in the future, the most positive benefit to GAO's work will be improvements in productivity through faster dissemination of information through all phases of work required to produce a report.

Telecommunications

Question. Would you explain what you are doing in the telecommunications area? Are you working with the Architect of the Capitol and his staff?

Response.

Long Distance Voice Services

In conjunction with other legislative branch agencies and through a contract provided by the Architect of the Capitol, GAO has begun to convert to MCI Long Distance Network Services. The new carrier will provide GAO with higher quality and lower cost long distance voice services. GAO has successfully converted its metropolitan Washington, DC, sites, involving over 6,800 lines and 23 exchanges. Also, the New York and Chicago regions have been converted, with the other regions scheduled for completion this fiscal year.

Local Voice Services

As part of the overall Legislative Branch Telecommunications Network Plan issued by the Architect of the Capitol, and as directed by the House Appropriations Committee in its Report on the Legislative Branch Fiscal Year 1990 Appropriations Bill, GAO has begun the process to obtain improved local voice services for the GAO building and Washington audit sites. A draft statement of work has been completed and is being reviewed by staff from the Senate, House, Architect of the Capitol, and the Library of Congress. GAO expects to issue the request for proposals in May to the two vendors currently providing service to the Congress, and to award the contract in the first quarter of fiscal year 1991. Conversion to the new services should occur during fiscal year 1991, but definitive timeframes will depend on the successful vendor's proposal. GAO anticipates that obtaining modern digital switching services will provide significant operational benefits, while stabilizing and reducing overall costs.

In conjunction with relocation or modernization efforts in field offices, GAO has and will continue to install improved local voice services. During fiscal years 1987 through 1989, GAO upgraded the telephone systems in nine regional offices; in fiscal year 1990, three other offices will be upgraded; and during fiscal year 1991, GAO will upgrade two additional regional telephone systems.

Question. You are requesting $5.3 million for a new telecommunications system in your fiscal year 1991 budget. Have you considered sharing a system with the Senate?

Response. As I just mentioned, the Architect of the Capitol was given the lead for developing the Legislative Branch Telecommunications Network Plan. In doing so, the Architect has analyzed numerous options for the Legislative Branch to share telecommunications systems. We have actively assisted the Architect with this analysis and will support the configuration that is deemed most efficient for us and appropriate for the Legislative Branch as a whole.

Question. Will the changes you are making in the telecommunications area result in any dollar savings?

Response. We certainly expect that GAO's long distance costs will decrease substantially as we complete conversion to the lower cost MCI Network. We believe that reductions in the range of 30 to 40 percent in fiscal year 1991 are probable.

Concerning local services, we are certain that GAO will substantially improve its ability to manage and control its costs; actual costs will depend upon final vendor proposals and the configuration of the system. We believe, however, that GAO will be able to achieve significant improvements in quality and operational capability, while reducing or at least maintaining current funding levels.

Training Institute

Question. What does the Training Institute do?

Response. The GAO Training Institute (TI) is responsible for: (1) establishing agency-wide policies for central and external training/education activities; (2) ensuring that GAO staff are provided training/education opportunities to learn GAO's policies and procedures, audit and evaluation methods, and other skills necessary to fulfill GAO's mission; (3) establishing core and elective curricula for evaluators, executives, administrative, secretarial, and clerical employees, technical specialists, and other employee groups; (4) conducting assessments to identify training needs and to evaluate the results of training; (5) keeping abreast of trends and technological advances in the training/education field; (6) efficiently operating facilities, equipment, systems, consultant agreements, and contracts in support of training; (7) representing GAO to the government, private sector, and academic training/education communities; and (8) compiling an annual education report on GAO's compliance with the "yellow book" continuing professional education standards and on the status of GAO's training/education activities.

Question. How much are you requesting for staff training in fiscal year 1991?

Response. As a professional organization striving to maintain high standards for its audit and evaluation work in an environment of increasing complexity and accelerating change, GAO has made a strong commitment to the training and development of its employees. This commitment not only maintains individual professional competence but enhances it, resulting in a work force that continually improves and refines its skills and knowledge. GAO's funding request for staff training in FY 1991 is $3,131,000.

Regional Offices

Question. How many GAO staffers are located in the regions? How many are located in headquarters?

Response. As of December 31, 1989, GAO had 5,026 full-time and 125 part-time employees with 2,284 of them assigned to the headquarters building, 1,050 at audit sites in the Baltimore-Washington area, and 1,817 assigned to 14 regional offices and two overseas offices.

Question. Do staff in the regional offices work for the regional managers or work for the people programming the jobs?

Response. To study an issue and then produce a report, GAO brings together a team of evaluators, often from both regional offices and headquarters divisions. The leadership of the team varies from job-to-job depending upon the skills of the individuals involved in the job, the issues being studied, and the geographical area being covered. In pulling together such a team our objective is to issue a quality report as quickly and efficiently as possible. GAO's program and technical divisions are responsible for securing the field resources needed to complete their jobs. Each division works with the regional managers to assure adequate staffing.

Question. Who evaluates the regional people?

Response. Performance evaluations in the regions are made by the regional manager.

Rent Receipts Account

Question. A portion of your renovation project is being funded from rent receipts. Please describe how this process is currently working. Do you think a change needs to be made in regards to the treatment of this funding?

Response. GAO receives rent from the Departments of Labor and of the Treasury for office space and related services provided bureaus of these agencies in the GAO building. Based on the authorizing language, this funding is placed in a Special Receipts Account. When GAO receives congressional approval through the annual appropriations process to use this funding, it is considered an appropriation. We believe that this funding is being inappropriately treated because in reality, GAO is being reimbursed for office space rent, utilities and other space related services. Thus, this funding should be classified as "Offsetting Collections" rather than as Appropriated funding. In order to correct this problem, we need to amend language contained in the authorizing legislation that relates to receipt of this funding. We are submitting draft language for this year's appropriations bill to accomplish this change.

Travel

Question. You are requesting an increase of $4.2 million for travel. Please explain why you need this increase. How many additional days of travel does this equate to?

Response. The change of $4,239,000 provides $1,525,000 attributable to inflation. Based on the latest statistics of costs in many of the cities we travel to, we know that there will be a definite rise in the number of high cost cities as well as increases in per diem for existing high cost cities. Also, air and rail fares will continue to change. The requested increase of 100 average positions accounts for $438,000 of the change. The balance of the change, $2,276,000, represents an increase of 14,195 days or about 4 days of travel per evaluator.

Having adequate funds for travel is critical for GAO to perform its work. GAO management initiatives emphasize work completeness and quality assurance and stress the requirement for and importance of travel by headquarters project and job leaders during the planning, execution, and report writing phases of a job assignment.

Contract Services

Question. Please list the major components of the $4.1 million increase for contract services and provide explanations for each.

Response. The major components of the $4.1 million increase for contract services are as follows:

Government Computer & Other ADP Services - $1,407,000

This increase is for requirements associated with: 1) the implementation and operation of MATS, 2) the anticipated demand growth of copy reproduction services targeted to be provided by National Technical Information Service, 3) the continuance of ongoing requirements costs for serv~~ices provided through the~~ House Information System (HIS) contracts which will marginally increase as services are enhanced, 4) the continuance of computer services provided by Agriculture for its National Finance Center which will increase as requirements are phased in, and 5) the expanded use of time sharing services by regions, as well as divisions,

provided by Agriculture for its National Finance Center which will increase as requirements are phased in, and 5) the expanded use of time sharing services by regions, as well as divisions,

provided through GAO's contract with the National Institutes of Health.

Non-Government Computer & ADP Services - $560,000

This increase is to cover costs for the new Office of Publishing and Communications tracking system and development of printing and publishing software used in connection with the shared resource pilot project; the development of an investigative case tracking system for the Office of Special Investigations; and the enhancement of administrative services like the Financial Management System.

Non-Government Contract Services - $1,403,000

This increase includes a 5 percent price level increase of $380,000 and a workload increase of $1,023,000. The requested new funding will allow for increased contractor assistance in GAO's audit and evaluation work ($1,107,000) and in mission support work ($296,000).

Contract for Facilities Maintenance - $438,000

This request provides for critical building maintenance services as well as support services in connection with modernization of office space subsequent to asbestos removal.

Furniture and Equipment

Question. Please list the major components of the $13.4 million increase for furniture and equipment and provide explanations for each.

Response. The major components of the $13.4 million "Equipment, Alteration" increase are (1) $5,310,000 for a local digital telephone system for the headquarters building, (2) $1,511,000 for the purchase of additional microcomputers to replace 380 antiquated machines and to bring the inventory up to 4,300 machines, (3) $2,750,000 to purchase standard software for the additional microcomputers and to acquire upgrades to existing software and purchase software to address special needs, (4) $2,996,000 for the purchase of systems furniture as part of the headquarters' modernization program, and (5) $264,000 to purchase Database Management Software (DBMS) for the shared Resource Pilot Project and copy scanners for use by GAO evaluators to convert hard copy data into computerized data which can be manipulated with standard microcomputer software.

QUESTIONS SUBMITTED BY SENATOR PETE V. DOMENICI

Question. GAO has never been audited by an outside agency. For the past two years we have been told that GAO was trying to arrange for an audit by one of the Inspectors General from another federal agency. Has anything been arranged for this year?

If an audit has not been scheduled by the time the Legislative Branch appropriations bill is considered by the Senate, I intend to offer an amendment requiring the Clerk of the House and the Secretary of the Senate to contract for an outside audit of the agency.

Response. Each year since fiscal year 1987, GAO has had its financial statements audited by an independent public accounting firm and has published the accountant's report in the Comptroller General's annual report to the Congress. In accordance with generally accepted government auditing standards, those audits have included examinations of GAO's internal control structure and compliance with applicable laws and regulations. In addition, GAO is firmly committed to the spirit and intent of the Federal Managers' Financial Integrity Act of 1982, and, as discussed more fully on page 38 of the fiscal year 1989 annual report, has taken steps to ensure compliance with the act's objectives. The external financial audits together with GAO's self-assessments and internal audit program provide reasonable assurance, on a continuing basis, that its internal controls comply with the objectives of the act.

Question. In FY 1987, the GAO requested and received a funding increase to hire more personnel to perform the tasks required under Gramm-Rudman. Even though GAO no longer plays a major role in the sequestration process, funding levels for the agency were never reduced. Can GAO tell me, in terms of dollars and FTEs, how these resources were reallocated through the agency?

Response. GAO was not given an increase in resources to perform its responsibilities under the Gramm-Rudman-Hollings (GRH) Act. The agency accomplished this work by organizing a team of staff members who were temporarily pulled from other jobs they were working on. Once the GRH work was complete, the staff members continued work on in-process jobs.

CONCLUSION OF HEARINGS

Senator REID. If there is nothing further, this will conclude the hearings on the fiscal year 1991 request for the legislative branch.

Thank you, and the subcommittee will stand in recess.

[Whereupon, at 11:30 a.m., Friday, April 6, the hearings were concluded, and the subcommittee was recessed, to reconvene subject to the call of the Chair.]

Material Submitted Subsequent to Hearings

[CLERK'S NOTE.—The following statements were received subsequent to the hearings and will be printed in the record:]

STATEMENT OF WILLIAM J. BYRON, S.J., PRESIDENT, CATHOLIC UNIVERSITY OF AMERICA; AND PAUL R. VERKUIL, PRESIDENT, COLLEGE OF WILLIAM AND MARY

Mr. Chairman and members of the Senate Appropriations Subcommittee on the Legislative Branch, we are pleased to submit for the official record the following testimony.

In July 1989, the House Committee on Appropriations in its report on Legislative Branch Appropriations stated: "The committee believes there is a need to have a central point of analysis and review of matters affecting Congress and the constitutional process. During fiscal year 1990 the committee will review this need and consider approaches to providing the necessary independent analysis to the Congress."

The Catholic University of America and the College of William and Mary proposes to establish a national center to be called the Center for Interbranch Relations and the Constitutional Process, to study the constitutional implications surrounding separation of powers issues.

The Constitution serves as the framework for American government. The constitutional separation of powers leads to struggles among branches for balance, or advantage, of power. This tension is as old as the Constitution itself; and although it is important to maintain a healthy tension among the branches, when that tension slows the progress of decisionmaking, it is necessary to examine the system.

This examination must be done, not only in the abstract, but in the context of day to day issues faced by Congress and the other branches.

The first vote of the second session of the 101st Congress called to issue the separation of powers doctrine. The question related to legislation designed to extend the residency of Chinese students. The President vetoed the bill, arguing that an Executive order to the same effect was more appropriate in keeping with Presidential prerogatives to conduct the Nation's foreign policy.

Even now a difference of opinion seems to exist between a Federal judge and a former president regarding executive privilege.

The Center for Interbranch Relations and the Constitutional Process proposes to study these struggles in their historical, political, and legal dimensions so as to suggest ways and means for cooperation among the branches to the benefit of the American people.

It seems appropriate that the central point of analysis and review envisioned by the report language in Legislative Branch Appropriations, 1990, quoted above, should have branches located in Washington, DC, the seat of national government and in Williamsburg, Virginia, a historical site, with unique political perspective.

Situated within two distinctive academic environments, the center is positioned similarly to work cooperatively with other research institutions, think tanks as well as universities, to accumulate, as a national service, important insights that will assist the Government of the United States in the accomplishment of the people's business.

Building on the scholarship and resources available at both institutions, a cooperative venture will examine the historical, legal, political, and institutional dimensions of separation of powers. The two universities will share and assist in each other's research, disseminate findings through publications, and conduct seminars and conferences about issues likely to be raised by the constitutionally imposed practice of powers shared among the branches. As the Subcommittee on the Legislative Branch has recognized, there is a compelling need for thoughtful work in this area. The Catholic University of America and the College of William and Mary will address these critical needs.

The Center for Interbranch Relations and the Constitutional Process will concentrate on the interaction among the three branches of Government and will address the need for an ongoing review and analysis of the constitutional processes, prerogatives, and powers of Congress in its relations with other branches, but will focus on the Congress, both in its day to day endeavors and in its extraordinary crises that test the Nation's constitutional foundations. Examples of contemporary issues which the center will address include: impeachment procedures, budget processes, advise and consent responsibilities, intelligence and foreign policy issues, amendment recommendations, war powers concerns, and legislative vetoes.

The center envisions itself as a resource for Members of Congress and their staffs. Expert witnesses will be available for testimony. Consultation with center scholars by congressional offices will be expected. And issues facing Congress in upcoming sessions will be addressed by studies prepared by the center.

Special briefing sessions will be available each session to Members of Congress, and their staffs, as well as to members of the executive and judicial branches, relating to emerging issues likely to have separation of powers implications.

It will bring together scholars, members of the media and practitioners working within Government for seminars, lectures and discussions of interbranch relations.

It will make its research available to an even wider audience in the form of published papers and reports relating to separation of powers issues.

The independent analysis of current and historical issues concerning the Congress that these two universities can provide is essential and constructive. This coordinated research will not be an adjunct entity to any one of the three branches, but will serve as an independent resource, which will be accessible to all three branches in the promotion of greater cooperation among them. It will also complement established entities such as the Congressional Research Service, Congressional Budget Office, Office of Technology Assessment, and General Accounting Office.

One important aspect of the center will be the capability to provide technical, analytical, and scholarly assistance to developing democracies of Eastern Europe as they craft constitutional governments. The Comparative and International Law Program at Catholic University and the Reeves Center for International Studies at William and Mary will provide a solid base for imparting American constitutional concepts to emerging democracies. This expertise, combined with visiting national and international scholars and practitioners and the Washington branch location of the center, will provide an important base for learning how the American system of Government works and how it can be applied to various European countries.

The Center on Interbranch Relations and Constitutional Process is made up of two centers of excellence: The Center for Congress and the Constitutional Process at the Catholic University of America and the Center for Interbranch Relations at the College of William and Mary. While both centers share the same objective—to generate knowledge and address specific needs and questions facing the three branches of the Federal Government—the center will augment the strengths of each institution.

The center will bring together the resources of two universities: The Catholic University of America and the College of William and Mary. Both institutions are recognized nationally for research and teaching, and both have records of accomplishments in the study of law, history and Government. The objective will be to understand the dynamics of separated powers and, through that understanding, offer practical proposals to improve the relationships among the three branches. The structure of the center assumes the active, ongoing participation by scholars from numerous sources other than the two founding universities, including experts who may be current or former members of the executive, legislative, and judicial branches, as well as current or former key staff persons. The center will operate as a magnet, attracting the best scholarship and the best experience available in the Nation. The center will have four main functions:

Task forces.—The center will establish task forces to examine instances of interbranch conflicts. The impetus for these projects will come from the center's D.C.-based Advisory Board. Specifically, the Board—with the help of each center's directors—will identify separation of powers topics likely to be on the agenda in the coming year and in need of analysis. The directors—with the assistance of affiliated scholars—will then put together a small team to run the project. The team will comprise some combination of visiting scholars, William and Mary and Catholic University faculty, postdoctoral students, and public policy/law students. The team will then identify present and former Government officials from each of the branches with whom it will work in both exploring and offering solutions to the identified problem.

Scholars associated with the center will work with congressional committees, executive agencies, and judicial institutions (such as the Judicial Conference and the Federal Judicial Center). Through these regular contacts, the center will participate actively and concretely in specific areas of dispute. Scholars associated with the center will be available to testify and to offer other forms of assistance to the three branches.

Professional education.—The center will conduct seminars and conferences on questions of separated powers. Executive officials, Members of Congress and their staffs, and members of the judiciary will also be invited to study specific policy disputes and to evaluate solutions that seem most promising. Orientation programs will be available to freshman Members of Congress (differing from those offered by Harvard because of the specific concentration on separation of powers). Briefing sessions relating to emerging issues likely to have separation of powers implications will be available to all Members of Congress, as well as to members of the executive and judicial branches. This three branch focus distinguishes center progressional education efforts from existing programs. While programs such as the Federal Courts Study Committee bring together members from all three branches to learn about a targeted problem, no educational program seeks to provide ongoing services for all three branches on issues of separated powers.

Internships.—An important aspect of the center's work will be training students in the art of Federal service by developing a sophisticated understanding of interbranch relations. At both the undergraduate and graduate levels, as well as in the education of attorneys, the center will provide experiential training through simulation, reenactment, and staging of realistic exercises in the process of interbranch interactions. Exercises will include simulations of committee hearings, committee markups, and floor actions. Participation by distinguished Federal officials, current and retired, will offer a vital dimension of reality and insight. The Law and Public Policy Program of the Catholic University of America's Columbus School of Law already conducts such simulations and places students in related internship environments.

Center students will serve as interns either participating in task forces or working in offices within the executive, legislative, and judicial branches. This hands on experience will heighten the trainee's confidence in understanding the political system and increase the trainee's knowledge and skill levels. Such experiences will engender an appreciation of the human dynamics that are always at work in the constitutional processes of Government.

Clearinghouse.—Through a careful selection of monographs, journal articles, and books, the center will integrate existing knowledge of separation of powers and apply it to contemporary policy disputes. The center will assemble the first complete collection of documents dealing with separation of powers: books, articles, videotaped interviews, congressional hearings, executive reports, court decisions, and the personal papers of those who have been history-makers or participants in significant constitutional process events. These documents will be organized and subdivided into an annotated bibliography on separation of powers, available to requests received from Government and the private sector. Updated regularly, it will provide an institutional memory for issues ranging from foreign affairs to the budget, appointments to removals, congressional investigations to executive privilege. The Center for Interbranch Relations in Williamsburg will also be home of the John Marshall Papers as well as the papers of Presidents James Monroe and John Tyler. Efforts are underway to add to this collection the papers of more contemporary leaders.

In all of its operations the center will have a continuing, interactive relationship with Congress. It will offer a scholarly reserve for the wisdom accumulated by Members of Congress and senior staffers during their years of Capitol Hill service. Its portfolio will include a repository of knowledge and materials useful to Congress in terms of the separation of powers. Its activities will assume active involvement by both sitting and former Members.

In addition to regular personal interchange between the center and the Congress, all of the efforts of the center will routinely and automatically be made available to the legislative branch. The center will file annual reports on its activities with the President of the Senate and the Speaker of the House of Representatives. Access to the center and its programs will be available to all having legitimate interests in the constitutional process.

The center will be academic, but it will also be action-oriented in that its published research and its educational endeavors will be designed to facilitate the work of this Nation's Government and to address conflicts over constitutional issues, which deter, rather than promote effective resolution of disputes.

PROPOSAL FOR CONGRESSIONAL FUNDING

The College of William and Mary and the Catholic University of America request $10 million in Federal support to establish a Center on Interbranch Relations and the Constitutional Process. These funds—which will be equally divided between the two institutions—will ensure both the establishment and continued operation of the proposed center.

The Washington branch of the center seeks $5 million in Federal support to construct needed facilities for the Center for Congress and the Constitutional Process at the Columbus School of Law of the Catholic University of America. The facilities committed to the center will include the Washington headquarters for the center and its operating components; space for supporting library collections and archival storage; necessary support technology; teaching and training facilities designed for legislative simulations and re-enactments, equipped with the necessary audio-visual equipment; taping and teleconferencing facilities; and sufficiently large and numerous support spaces, meeting and conference rooms, offices, storage, and the like, so that the center will compliment the regular law school educational program.

The Washington branch of the center will be funded for operating functions from private sources but the Catholic University of America and the Columbus School of Law will ensure that the Washington branch of the center and its educational functions are adequately funded. When the Washington branch becomes fully functional with the completion of the new law school building (projected for 1992), the law school will provide adequate operating funds to support a qualified director, an executive assistant, at least two distinguished resident scholars annually, a qualified librarian/archivist, all necessary administrative and secretarial help, stipends for graduate and law student assistants, and several annual conferences and other educational activities.

The Williamsburg branch of the center is the Center for Interbranch Relations, which seeks $5 million in moneys to be used both for physical facilities to house the center ($3 million) and seed money to enable the center to fulfill its programmatic objectives ($2 million). The center will be located at the Marshall-Wythe School of Law (either as an addition to the law school building or as a free standing building adjacent to the law school). Federal construction dollars will be used for offices for center-affiliated scholars, interns, and support staff; the clearinghouse library; the Marshall papers; the administrative law review; three small conference rooms (for task force and staff meetings); and a meeting room (for conferences). Federal programmatic dollars will be used to support the initial task force and the clearinghouse library's development of an annotated bibliography and other materials on separation of powers.

Ongoing operational support for the Williamsburg branch of the center will be provided by the College of William and Mary. The college is now in the midst of a "Campaign for the Fourth Century." A priority of this campaign will be to establish an endowment to support center operations. The college will provide adequate operating funds to support a qualified director, an executive assistant, at least two distinguished resident scholars annually, a qualified librarian/archivist, all necessary administrative and secretarial help, stipends for graduate and law student assistants, and various educational activities. The Williamsburg center will launch its research task forces in 1991. The full complement of Williamsburg center activities will begin in 1992.

THE CENTER FOR INTERBRANCH RELATIONS AND THE CONSTITUTIONAL PROCESS

PREFACE

The House report on the fiscal year 1990 appropriations bill for the Legislative Branch stated: The committee is concerned about a number of issues the Congress must address involving constitutional process and policy. Issues of this type include impeachment, the budget process, the advise and consent role, constitutional amendment procedures, war powers, and the legislative veto. Because of this concern, the committee believes there is a need to have a central point of analysis and review of matters affecting Congress and the constitutional process. During fiscal year 1990 the committee will review this need and consider approaches to providing the necessary independent analysis to the Congress.

This proposal is in response to that directive.

EXECUTIVE SUMMARY

THE CENTER ON INTERBRANCH RELATIONS AND THE CONSTITUTIONAL PROCESS

Last year the Subcommittee on the Legislative Branch noted that there was a need to have a central point of independent analysis and review of matters affecting the Congress and the constitutional process. This proposal seeks congressional support to provide facilities and initial program funding for the Catholic University of America and the College of William and Mary for a coordinated approach to addressing specific concerns and needs expressed by the Congress.

The combined expertise of the two institutions enhances the quality of analysis in the study of separation of powers issues to produce the most efficient and beneficial service possible to the Congress and the Nation. Much like the relationship of the three branches, which this endeavor will study, this coordinated effort will maintain the equality of each institution's program, pooling their various resources and utilizing their unique settings. Both universities will conduct research (each capturing the advantages of its permanent and visiting scholars, location, and library resources), publish the results of ongoing and completed scholarship, and conduct conferences relating to the subjects of their research.

There is agreement that a cooperative effort will enhance the contributions of each university to the study of separation of powers issues facing the Congress. Both institutions of higher learning are committed to further the understanding of the constitutional process as it relates to the important decisions that face the legislative, judicial, and executive branches on an ongoing basis.

The goals of the cooperative effort between the two universities will be coordinated research and educational programs involving: (1) interdisciplinary research task force projects; (2) professional education; (3) internships; and (4) a clearinghouse for information (printed, video, and audio) integrating existing knowledge of separation of powers issues.

The Catholic University of America, with its 100 year history of education and service to the Nation and with its location in Washington, DC, is uniquely qualified to undertake research and educational programs on the issues involved in Congress and constitutional process. Educational programs will be developed to provide continuing and advanced education for individuals employed in each of the three branches of Government on issues involved in legislative, executive, and judicial policy decisions. Educational programs will also be based upon task forces conducted at the College of William and Mary. Furthermore, policy studies and special briefings will be held during sessions of Congress to examine pending issues with separation of powers implications. Scholars from both universities will lend their expertise in conducting these programs. This coordinated effort will be a resource, especially for Members of Congress and their staffs.

The College of William and Mary, consistent with its long history of research in American history and Government, will appoint interdisciplinary research task forces, drawing upon the resources of both universities, to develop position papers that will offer suggestions for better working relations among the three branches. The purpose will be to generate knowledge that will facilitate policy making in American Government. The intention is to contribute to the ongoing process of give and take among all three branches. The focus will be on actual instances of interbranch conflict, as they emerge and as they occur.

Each university's program will be headed by an executive director, who will function as a co-director of the coordinated effort and serve as an ex-officio member of the other institution's planning committee. An advisory board will ensure that research projects are placed at the institution best suited by experience and resources for the specific topic. This board will consist of two representatives from each institution and three jointly appointed members. The advisory board will oversee and direct the coordinated endeavors of the two universities.

The distinct programs of the two universities will complement and advance the subcommittee's intent to have a central point for analysis and review of matters affecting Congress and the constitutional process.

The education and research to be conducted by the Catholic University of America and the College of William and Mary are critical to the addressing of the regular challenges confronting Congress relative to separation of powers in each session. The research component helps to address longer range concerns while also providing greater in-depth examination of current issues.

Building on the scholarship and resources available at both institutions, a cooperative venture will examine the historical, legal, political, and institutional dimensions of separation of powers. The two universities will share and assist in each other's research, disseminate findings through publications, and conduct seminars and conferences about issues likely to be raised by the constitutionally imposed practice of powers shared among the branches. As the Subcommittee on the Legislative Branch has recognized, there is a compelling need for thoughtful work in this area. The Catholic University of America and the College of William and Mary will address these critical needs.

Such a comprehensive endeavor is unique. The independent analysis of current and historical issues concerning the Congress that these two nongovernmental institutions can provide is essential and constructive. This coordinated research will not be an adjunct entity to any one of the three branches, but will serve as an independent resource, which will be accessible to all three branches in the promotion of greater cooperation among them. It will also complement established entities such as the Congressional Research Service, Congressional Budget Office, Office of Technology Assessment, and General Accounting Office.

INTRODUCTION

To many observers of national government, the system of separated powers is no longer reliable and effective. A mainstay of constitutional government in America since 1789, the separation of powers doctrine now seems too often a source of interbranch warfare. Instead of confronting and resolving crucial issues of national policy, to some the President and Congress appear mired in unproductive and inconclusive struggles over institutional prerogatives and power.

One important step needed to address this problem is the creation of a Center on Interbranch Relations and the Constitutional Process. The College of William and Mary and the Catholic University of America are ideally situated to establish such a center. Building on the scholarship and resources available at both institutions, the center will examine the historical, legal, political, and institutional dimensions of separation of powers. What are the strengths of our system? What are its weaknesses? How can those weaknesses be addressed most effectively? The objective is to understand the dynamics of separated powers and, through that understanding, offer practical proposals to improve the relationships among the three branches. As the Subcommittee on the Legislative Branch has recognized, there is a compelling need for thoughtful work in this area. The College of William and Mary and the Catholic University of America will address these critical needs.

BACKGROUND

The American Constitution is unique. For two centuries it has successfully divided the powers of Government to safeguard individual liberties. The framers structured Government to regulate, not extinguish, political conflict. Through the complex system of checks and balances they hoped to channel political conflicts into productive and acceptable accommodations. As Justice Brandeis noted in his dissent in *Myers* v. *United States* (1926), the purpose of the Constitution is "not to avoid friction, but, by means of the inevitable friction incident to the distribution of the governmental powers among three departments, to save the people from autocracy."

Under this philosophy of Government, the Constitution has endured and prospered. It is argued that whatever merits the system of checks and balances offered in the eighteenth century, they no longer apply to the complex problems facing contemporary society. Critics object that deadlocks in such areas as the budget process and the war powers create a dangerous weakness in Government. The Iran-Contra affair is only the most recent illustration of a serious executive-legislative breakdown.

Some level of conflict and tension is natural in a system of separated powers. Conflict can help sharpen issues and prepare the way for compromise and consensus. However, when conflict leads instead to irresolution and important public issues are constantly put off to another day, or perhaps left for resolution by the private sector, the system of separated powers requires careful study to determine how its strengths may be recaptured and its weaknesses minimized.

Often at the center of these difficult situations are questions relating to the proper constitutional role of Congress vis-a-vis the executive and judicial branches. There are recurring struggles for balance, or advantage, among the branches. Disputes surface as issues of statutory limits on Federal court jurisdiction, legislative vetoes of agency action, or debates over the funding of foreign policy initiatives. And occasionally there are cataclysmic events that may wrench the constitutional fabric: for example, undeclared wars and Presidential impeachment.

The separation of power's drama goes to the heart of our constitutional system, and yet it is played out in real time, by real people, in the context of real national problems—very often in terms of congressional responsibilities and prerogatives. The system of separated powers, therefore, must be analyzed not only on a theoretical level but examined as well with reference to how the branches of Government actually work, both on a day-to-day basis and in times of crisis. As Justice Frankfurter recognized in the famed "Steel Seizure Case," *Youngstown Sheet & Tube Co.* v. *Sawyer*, the separation of powers doctrine cannot be interpreted without regard for the historically established modes of interbranch relations: "It is an inadmissibly narrow conception of American constitutional law to confine it to the words of the Constitution and to disregard the gloss which life has written upon them."

THE CENTER ON INTERBRANCH RELATIONS AND THE CONSTITUTIONAL PROCESS

The Center on Interbranch Relations and Constitutional Process is made up of two centers of excellence: The Center for Congress and the Constitutional Process at the Catholic University of America and the Center for Interbranch Relations at the College of William and Mary. While both centers share the same objective—to generate knowledge and address specific needs and questions facing the three branches of the Federal Government—the center will augment the strengths of each institution.

The center will bring together the resources of two universities: The Catholic University of America and the College of William and Mary. Both institutions are recognized nationally for research and teaching, and both have records of accomplishments in the study of law, history and Government. The objective will be to understand the dynamics of separated powers and, through that understanding, offer practical proposals to improve the relationships among the three branches. The structure of the center assumes the active, ongoing participation by scholars from numerous sources other than the two founding universities, including experts who may be current or former members of the executive, legislative, and judicial branches, as well as current or former key staff persons. The center will operate as a magnet, attracting the best scholarship and the best experience available in the nation. The center will have four main functions:

Task forces.—The center will establish task forces to examine instances of interbranch conflicts. The impetus for these projects will come from the center's D.C.-based advisory board. Specifically, the board—with the help of the each center's directors—will identify separation of powers topics likely to be on the agenda in the coming year and in need of analysis. The directors—with the assistance of affiliated scholars—will then put together a small team to run the project. The team will comprise some combination of visiting scholars, William and Mary and Catholic University faculty, postdoctoral students, and public policy/law students. The team will then identify present and former Government officials from each of the branches with whom it will work in both exploring and offering solutions to the identified problem.

Center affiliated scholars will then publish recommendations, which will be distributed to appropriate individuals. Specifically, all Members of Congress, as well as affected members of the executive and judicial branches, will receive task force reports. Task force results, moreover, will be distributed to the legal community, primarily through the auspices of "The Administrative Law Review" (one of the most widely circulated legal publications in the country). The center will also file annual reports on its activities with the President of the Senate and the Speaker of the House of Representatives and with representatives of the other branches as appropriate.

As part of the process, periodic conferences on the topics attended by policymakers would be conducted under the auspices of the center. Conferences will frequently, but not exclusively, focus on the ongoing or completed research of a center task force. Scholars who have built their reputation on the study of interbranch relations will be invited to spend time, generally a semester, at either Williamsburg or Washington center. During such visits resident scholars will teach courses, participate in conferences, be available to provide expert testimony, and contribute to publications. Resident scholars will enrich the center and extend its influence to other institutions.

Task force projects will offer constructive solutions to significant interbranch conflicts. They are not, however, intended to be a panacea. Some areas of interbranch conflict may well benefit from detailed treatment. Examples of such task force projects include the increasing use of Senate confirmations as an oversight device, institutional ways to confront the budget deficit, interbranch conflicts concerning the congressional override of tax treaties, and the proposal to pool administrative law judges into a common independent entity. Task force projects then will focus on topics where the findings are most likely to produce meaningful reform. Moreover, by bringing together representatives of the affected branches to participate in discussions with each other and center-affiliated scholars, task force projects promise a type of action-oriented scholarship rarely attempted by research institutes (and clearly unsuitable for legislative support organizations). Indeed, while several research institutes currently study individual branches of government (Carl Albert Center, Dirksen Center, White Burkett Miller Center), there are no scholarly centers that investigate the interactions among all three branches.

Scholars associated with the center will work with congressional committees, executive agencies, and judicial institutions (such as the Judicial Conference and the Federal Judicial Center). Through these regular contacts, the center will participate actively and concretely in specific areas of dispute. Scholars associated with the center will be available to testify and to offer other forms of assistance to the three branches.

Professional education.—The center will conduct seminars and conferences on questions of separated powers. Executive officials, Members of Congress and their staffs, and members of the judiciary will also be invited to study specific policy disputes and to evaluate solutions that seem most promising. Orientation programs will be available to freshman Members of Congress (differing from those offered by Harvard because of the specific concentration on separation of powers). Briefing sessions relating to emerging issues likely to have separation of powers implications will be available to all Members of Congress, as well as to members of the executive and judicial branches. This three branch focus distinguishes center progressional education efforts from existing programs. While programs such as the Federal Courts Study Committee bring together members from all three branches to learn about a targeted problem, no educational program seeks to provide ongoing services for all three branches on issues of separated powers.

The center will offer workshops for members of the Washington press corps, in both print and electronic media, assigned to cover the activities of the three branches. These workshops will bring together scholars and experts, as well as news men and women familiar with interbranch relations, for open and frank discussions of current issues against the background of the separation of powers doctrine. The Communications Law Institute at the Catholic University of America and the Institute of Bill of Rights Law at the College of William and Mary are both equipped to contribute significantly to these workshops.

The center will emulate the Congressional Interparliamentary Union by inviting parliamentary scholars from abroad who may have new perspectives on issues relating to the separation of powers. The center also will make its scholars and experts available as consultants to the developing democracies of Eastern Europe as they craft constitutional governments. The Comparative and International Law Program at Catholic University and the Reeves Center for International Studies at William and Mary will provide a solid base for imparting American constitutional concepts to emerging democracies.

Technology permitting, significant center sponsored programs will be broadcast to distant locations, and most will be videotaped for subsequent distribution to interested parties throughout the United States and elsewhere. Some videotapes will be edited to be used for limited purposes or to address a specific audience. Short programs, for example, may be prepared for use in a single college level government or constitutional law class.

Similarly, the center will publish written materials appropriate for various audiences. Center publications might run the gamut from texts oriented to a high school market, through a practical handbook for congressional staffers, to scholarship addressed to the most sophisticated students of law, Government, public policy and history. A hallmark of the center will be its ability to serve well the most scholarly students of political and constitutional theory, the practical doers of Government, and those just learning the rudiments. The Center for Law Related Education at William and Mary will play a substantial role in these efforts.

Internships.—An important aspect of the center's work will be training students in the art of Federal service by developing a sophisticated understanding of interbranch relations. At both the undergraduate and graduate levels, as well as in the education of attorneys, the center will provide experiential training through simulation, reenactment, and staging of realistic exercises in the process of interbranch interactions. Exercises will include simulations of committee hearings, committee markups, and floor actions. Participation by distinguished Federal officials, current and retired, will offer a vital dimension of reality and insight. The Law and Public Policy Program of the Catholic University of America's Columbus School of Law already conducts such simulations and places students in related internship environments.

Center students will serve as interns either participating in task forces or working in offices within the executive, legislative, and judicial branches. This hands on experience will heighten the trainee's confidence in understanding the political system and increase the trainee's knowledge and skill levels. Such experiences will engender an appreciation of the human dynamics that are always at work in the constitutional processes of Government.

Internships will be available to law and graduate public policy students. The student internship program will be national in scope. Law and public policy students from around the country with an interest and commitment toward understanding separation of powers issues will work and study at the center. No such program exists, and we believe educating young people about this topic will yield significant benefits in coming years, as many of them enter careers in government and public service.

Clearinghouse.—Through a careful selection of monographs, journal articles, and books, the center will integrate existing knowledge of separation of powers and apply it to contemporary policy disputes. The center will assemble the first complete collection of documents dealing with separation of powers: books, articles, videotaped interviews, congressional hearings, executive reports, court decisions, and the personal papers of those who have been history-makers or participants in significant constitutional process events. These documents will be organized and subdivided into an annotated bibliography on separation of powers, available to requests received from Government and the private sector. Updated regularly, it will provide an institutional memory for issues ranging from foreign affairs to the budget, appointments to removals, congressional investigations to executive privilege. The Center for Interbranch Relations in Williamsburg will also he home of the John Marshall Papers as well as the papers of Presidents James Monroe and John Tyler. Efforts are underway to add to this collection the papers of more contemporary leaders.

In today's society, training and research programs on the public policy process must employ state-of-the-art techniques for gathering and exchanging information. Those engaged with the work of the center must be provided with the most efficient and productive technical systems available. For research and archive purposes, this may involve new computer networks and storage systems, rational systems for storing and cataloging large amounts of audio-visual materials gathered for the living history collection, innovative linkages with other data bases in the country and the world, and special programs for computerized retrieval, analysis, and indexing of material.

In all of its operations the center will have a continuing, interactive relationship with Congress. It will offer a scholarly reserve for the wisdom accumulated by Members of Congress and senior staffers during their years of Capitol Hill service. Its portfolio will include a repository of knowledge and materials useful to Congress in terms of the separation of powers. Its activities will assume active involvement by both sitting and former Members.

In addition to regular personal interchange between the center and the Congress, all of the efforts of the center will routinely and automatically be made available to the legislative branch. The center will file annual reports on its activities with the President of the Senate and the Speaker of the House of Representatives. Access to the center and its programs will be available to all having legitimate interests in the constitutional process.

PROPOSAL FOR CONGRESSIONAL FUNDING

The College of William and Mary and the Catholic University of America request $10 million in Federal support to establish a Center on Interbranch Relations and the Constitutional Process. These funds—which will be equally divided between the two institutions—will ensure both the establishment and continued operation of the proposed center.

The Washington branch of the center seeks $5 million in Federal support to construct needed facilities for the Center for Congress and the Constitutional Process at the Columbus School of Law of the Catholic University of America. The facilities committed to the center will include the Washington headquarters for the center and its operating components; space for supporting library collections and archival storage; necessary support technology; teaching and training facilities designed for legislative simulations and re-enactments, equipped with the necessary audio-visual equipment; taping and teleconferencing facilities; and sufficiently large and numerous support spaces, meeting and conference rooms, offices, storage, and the like, so that the center will compliment the regular law school educational program.

The Washington branch of the center will be funded for operating functions from private sources but the Catholic University of America and the Columbus School of Law will ensure that the Washington branch of the center and its educational functions are adequately funded. When the Washington branch becomes fully functional with the completion of the new law school building (projected for 1992), the law school will provide adequate operating fund to support a qualified director, an executive assistant, at least two distinguished resident scholars annually, a qualified librarian/archivist, all necessary administrative and secretarial help, stipends for graduate and law student assistants, and several annual conferences and other educational activities.

The Williamsburg branch of the center is the Center for Interbranch Relations, which seeks $5 million in moneys to be used both for physical facilities to house the center ($3 million) and seed money to enable the center to fulfill its programmatic objectives ($2 million). The center will be located at the Marshall-Wythe School of Law (either as an addition to the law school building or as a free standing building adjacent to the law school). Federal construction dollars will be used for offices for center-affiliated scholars, interns, and support staff; the clearinghouse library; the Marshall papers; the administrative law review; three small conference rooms (for task force and staff meetings); and a meeting room (for conferences). Federal programmatic dollars will be used to support the clearinghouse library's development of an annotated bibliography and other materials on separation of powers.

Ongoing operational support for the Williamsburg branch of the center will be provided by the College of William and Mary. The college is now in the midst of a "Campaign for the Fourth Century." A priority of this campaign will be to establish an endowment to support center operations. The college will provide adequate operating funds to support a qualified director, an executive assistant, at least two distinguished resident scholars annually, a qualified librarian/archivist, all necessary administrative and secretarial help, stipends for graduate and law student assistants, and various educational activities. The Williamsburg center will launch its research task forces in 1991. The full complement of Williamsburg center activities will begin in 1992.

APPENDIX A

MARCH 12, 1990.

Hon. VIC FAZIO,
Chairman, Subcommittee on the Legislative Branch, House Appropriations Committee, H-302, The Capitol, Washington, DC.

DEAR CHAIRMAN FAZIO: On February 8, 1990, the Catholic University of America and the College of William and Mary met before your Subcommittee on the Legislative Branch to present individual programs that analyze questions relating to the separation of powers doctrine within the Federal Government of the United States of America.

At that hearing you suggested that the two institutions meet to discuss their specific goals. You encouraged both to work together to address the critical needs facing the Congress and the entire Federal Government relating to constitutional issues surrounding the interaction among the three branches of Government.

This prompted extensive discussion between members of the faculties of the Catholic University of America and the College of William and Mary. The strengths of each academic institution are well documented in the submissions made at the hearing. The two individual centers outlined in those documents have distinct components and approaches which, through coordination, will directly respond to the specific concerns and needs that the Congress expressed in the report language accompanying last year's Legislative Branch Appropriations Bill. This document is in response to the subcommittee's desire to have the two institutions work together.

The Catholic University of America and the College of William and Mary have the bases upon which to establish this important academic endeavor.

As requested, the universities are working together to coordinate the two centers to produce the most efficient and beneficial service possible to the Congress and the Nation. Much like the relationship of the three branches which these two centers will study, this joint effort will maintain the equality of each institution's program, pooling their various resources and utilizing their unique settings. Both universities will conduct research (each capturing the advantages of its permanent and visiting scholars, location, and library resources), publish the results of ongoing and completed scholarship, and conduct conferences relating to the subjects of their research.

Each university's program will be headed by an executive director, who will function as a co-director of the coordinated effort To ensure cooperation between the two universities, each co-director will serve as an ex-officio member of the other institution's planning committee. An advisory board, moreover, will ensure that research projects are placed at the institution best suited by experience and resources for the specific topic. This board will consist of two representatives from each institution and three jointly appointed members. The advisory board will oversee and direct the coordinated endeavors of the two universities.

There is agreement that a cooperative effort will enhance the contributions of each center to the study of separation of powers issues facing the Congress. Both entities are committed to further the understanding of the constitutional process as it relates to the important decisions that face the legislative, judicial and executive branches on an ongoing basis.

The College of William and Mary, drawing upon its long history of research in American history and government, will appoint research task forces to develop position papers that will offer suggestions for better working relations among the three branches. The purpose of the center will be to generate knowledge that will facilitate policy making in American Government. The intention is to contribute to the ongoing process of give and take among all three branches. The focus will be on actual instances of interbranch conflict, as they emerge and as they occur.

The Catholic University of America, with its 100 year history of education and service to the Nation and with its location in Washington, DC, is uniquely qualified to undertake research and educational programs on the issues involved in Congress and constitutional process. Programs will be developed to provide continuing and advanced education for individuals employed in each of the three branches of Government on issues involved in legislative, executive, and judicial policy decisions. The coordinated centers will be a resource, especially for Members of Congress and their staffs. Policy studies and special briefings will be held during sessions of Congress to examine pending issues with separation of powers implications.

The distinct programs of the two universities will complement and advance the subcommittee's intent to have a central point for analysis and review of matters affecting Congress and the constitutional process.

The educational and research components of the Catholic University of America's Center for Congress and the Constitutional Process are critical for addressing the regular challenges confronting Congress relative to separation of powers in each session.

The research component emphasized at the College of William and Mary helps to address longer range concerns while also providing greater indepth examination of current issues.

The coordinated expertise of the two institutions enhances the quality of the analysis and is directly responsive to the committee mandate that "* * * During fiscal year 1990 the committee will review this need and consider approaches to providing the necessary independent analysis to the Congress (report language from Legislative Branch Appropriations Bill, 1990)."

The Catholic University of America and the College of William and Mary are ideally situated to establish and operate this coordinated educational and research endeavor. Washington, DC, and Williamsburg, Virginia are settings conducive to the study of American constitutional government. Both universities currently address separation of powers questions through their schools and various departments. These already successful programs will provide intellectual depth and effective support for the center.

In addition to both law schools, the departments of history, Government or politics, and economics at both institutions include expertise in national policy and Government structure. Complementary institutes on both campuses significantly enhance the academic offerings. These include, among others:

At the Catholic University of America: the Congressional Studies Institute; the Law and Public Policy Program; the Communications Law Institute; the Comparative and International Law Program; the International Affairs Program at the Pentagon.

At the College of William and Mary: the Institute of Bill of Rights Law; the Institute for Early American History and Culture (and the associated Commonwealth Center); the Public Policy Institute; and the Reeves Center for International Studies.

Building on the scholarship and resources available at both institutions, a cooperative venture will examine the historical, legal, political, and institutional dimensions of separation of powers. The two centers will share and assist in each other's research, disseminate findings through publications, and conduct seminars and conferences about issues likely to be raised by the constitutionally imposed practice of powers shared among the branches. As the Subcommittee on the Legislative Branch has recognized, there is a compelling need for thoughtful work in this area. The Catholic University of America and the College of William and Mary will address these critical needs.

Such a comprehensive endeavor is unique. The independent analysis of current and historical issues concerning the Congress that these two nongovernmental institutions can provide is essential and constructive. This coordinated research will not be an adjunct entity to any of the three branches, but as an independent resource, will be accessible to all three branches in the promotion of greater cooperation among them. It will be a complement to several established entities such as the Congressional Research Service, Congressional Budget Office, Office of Technology Assessment, and General Accounting Office.

The Catholic University of America and the College of William and Mary request overall Federal cost sharing of $5 million each. These funds will ensure the establishment of both proposed centers. This request is for a one-time grant.

The Washington based Center for Congress and Constitutional Process at the Catholic University of America, seeks $5 million in Federal support to construct needed physical facilities at the Columbus School of Law of CUA and should be completed in 1992. The facilities committed to the center will include the Washington headquarters for the center and its operating components; space for supporting library collections and archival storage; necessary support technology; teaching and training facilities designed for legislative simulations and re-enactments, equipped with the necessary audio-visual equipment; taping and teleconferencing facilities; and sufficiently large and numerous support spaces, meeting and conference rooms, offices storage, and the like, so that the center will complement the regular law school educational program. Washington center educational programs will commence with the opening of the new law building in 1992. Limited research projects, development of educational materials and related activities will begin in 1991.

The Catholic University of America and its Columbus School of Law will ensure that the Washington center is adequately funded. When the center becomes fully operational by 1992, the law school will provide adequate operating funds to support a qualified director or co-director, an executive assistant, at least two distinguished resident scholars annually, a qualified librarian/archivist, all necessary administrative and secretarial help, stipends for graduate and law student assistants, annual conferences and other educational activities.

The Williamsburg based Center for Interbranch Relations at the College of William and Mary, seeks $5 million in moneys which will be used both for physical facilities to house the Center for Interbranch Studies ($3 million) and seed money to enable the center to fulfill its programmatic objectives ($2 million). The center will be located at the Marshall-Wythe School of Law (either as an addition to the law school building or a free standing building adjacent to the law school). Federal construction dollars will be used for offices for center-affiliated scholars, interns, and support staff; the clearinghouse library; the Marshall papers; the Administrative Law Review; three small conference rooms (for task force and staff meetings), and a meeting room (for conferences). Federal programmatic dollars will be used to support the clearinghouse library's development of an annotated bibliography and other materials on separation of powers, the initial task forces, seminars, and conferences, and start-up personnel costs.

Ongoing operational support for the Williamsburg center will be provided by the College of William and Mary. The college is now in the midst of a "Campaign for the Fourth Century." A priority of this campaign will be to established an endowment to support center operations. The college will provide adequate operating funds to support a qualified director or co-director, an executive assistant, at least two distinguished resident scholars annually, a qualified librarian/archivist, all necessary administrative and secretarial help, stipends for graduate and law students, and various educational activities. The Williamsburg center will launch its research task forces in 1991. The full complement of Williamsburg center activities will begin in 1992.

Discussions between the two institutions continue. A more detailed proposal will be forwarded to you within the next two weeks. We look forward to further discussion with the committee as Catholic University and William and Mary aim toward completion of a joint program that addresses the stated needs of the United States

Congress as it considers approaches to providing independent analysis on issues relating to the constitutional process.

Sincerely,

WILLIAM J. BYRON, S.J.,
President, Catholic University of America.
PAUL R. VERKUIL,
President, College of William and Mary.

APPENDIX B

COORDINATING STRUCTURE

Much like the relationship of the three branches which these two centers will study, this coordinated effort will maintain the equality of each institution's program, while pooling their various resources and utilizing their unique settings. Both universities will conduct research (each capturing the advantages of its permanent and visiting scholars, location, and library resources), publish the results of ongoing and completed scholarship, and conduct conferences relating to the subjects of their research.

Each university's program will be headed by an executive director, who will function as a co-director of the coordinated effort. To ensure cooperation between the two universities, each co-director will serve as an ex-officio member of the other institution's planning committee. An advisory board, moreover, will ensure that research projects are placed at the institution best suited by experience and resources for the specific topic. This board will consist of two representatives for each institution and three jointly appointed members. The advisory board will oversee and direct the coordinated endeavors of the two universities

INSTITUTIONAL RESOURCES

The Catholic University of America and the College of William and Mary are ideally suited to establish and operate the center. Williamsburg, Virginia, and Washington, DC, are settings conducive to the study of American constitutional government, and a number of schools, departments, and institutes of both universities currently address separation of powers questions. These already established endeavors will provide intellectual depth and effective support for the center.

In addition to both law schools, the departments of history, Government or politics, and economics at both institutions include expertise in national policy and Government structure. Complementary institutes on both campuses significantly enhance the academic offerings. These include, among others:

At the Catholic University of America—

The Congressional Studies Program is designed to offer a thorough understanding of the U.S. Congress. It combines historical, political, and theoretical approaches and covers (1) the development, traditions, structures and functions of Congress, (2) the relationship of Congress to the larger political system, and (3) Congress and public policy. Classes are held on Capitol Hill and on the Catholic University campus.

The Clinical Program in Law and Public Policy affords students a chance to participate directly in the process of public policy formulation at the seat of our national government. Participating students explore the interrelation between law and policy, study the legislative and administrative processes and their relationships to the judicial process.

The Institute for Communications Law Studies is a program of academic concentration within the Columbus School of Law. It offers nine academic courses, a number of internships with local communications law agencies and firms, and a variety of special programs and lectures each year. The Institutes Director, Professor Harvey L. Zuckman, is a nationally recognized expert and author in the field of communications law.

The Comparative and International Law Program is designed to give students the opportunity to plan a concentration of courses in the public and private areas of international law. In addition to a rigorous classroom component (a minimum of five comparative or international law courses), students seeking a certificate evidencing completion of the program must participate in an unpaid internship. Internships may be arranged with Washington-based corporations and international banks, the Organization of American States, Congress and the Department of State.

At the College of William and Mary—

The Institute of Bill of Rights Law is an academic foundation, under the auspices of the Marshall-Wythe School of Law at the College of William and Mary, committed to quality research and education on constitutional law. Established in 1982, the institute has funded academic research and sponsored numerous conferences on constitutional topics. Institute work product has been published independently through an institute monograph series and through an annual symposium issue of the William and Mary Law Review. These efforts include the publication of "The American Constitutional Tradition of Shared and Separated Powers," 30 William and Mary L. Rev. 209-433 (1989).

The Institute for Early American History and Culture (and the associated Commonwealth Center) is a research institute dedicated to the study of early American history, culture, and institutions. The institute publishes the "William and Mary Quarterly," facilitates the publication of books by institute-affiliated scholars, engages in documentary research and editing, hosts conferences, and serves as an information clearinghouse for early American students.

The Public Policy Institute at the College of William and Mary directs a graduate program in public policy analysis (beginning in the fall of 1991). As part of the curriculum, M.A. students are required to participate in internships and other applied work, providing the center with additional resources for examining ongoing issues relating to the separation of powers. The institute, moreover, will facilitate the public policy research efforts of its affiliated faculty as well as host academic conferences on a range of public policy topics.

The Wendy and Emery Reeves Center for International Studies directs a degree granting program in international studies. In addition to its William and Mary program, the center supervises educational programs in Europe, Asia, and the Caribbean. The center, moreover, facilitates academic research and hosts academic conferences and seminars.

The Center for Law Related Education is an educational program located at the Marshall-Wythe School of Law. Its principal function is the preparation of text and related video learning materials for public school students and lay adult audiences. Its efforts include The Living Constitution, a collection of contemporary constitutional problems for high school students, and "Aspects of American Law," an eight part television series with accompanying curriculum materials. In conjunction with the Institute of Bill of Rights Law, the center is planning to develop educational material for high school students on constitutional law.

Key to the success of the center will be the resident scholars. These will be the persons of distinction, either by virtue of research or service in one of the three branches of Government.

INDIVIDUAL RESOURCES

The principal individuals participating in center activities at the College of William and Mary will be:

Paul R. Verkuil.—President of the College of William and Mary, Paul R. Verkuil is a prominent scholar in this area. He is coauthor of a treatise on administrative process and author of related articles in the "Yale Law Journal," "Columbia Law Review," "University of Chicago Law Review," and "Duke Law Journal." Moreover, his work as a member of the Administrative Conference of the United States, his course on Separation of Powers at the School of Law, his role as Special Master in the Louisiana higher education desegregation plan, his work as Chair of the American Bar Association's Administrative Law and Regulatory Practice Section, and his leadership in proposing the center reflect his broad experience in studying the structure and operations of the Federal Government.

Neal E. Devins.—A professor with the Marshall-Wythe School of Law, Neal Devins has published articles on separation of powers issues in such prominent journals as the "Stanford Law Review," the "Duke Law Journal," the "Texas Law Review," and the "Columbia Law Review." He is currently working on a book which will explore the mix of judicial and nonjudicial forces that determine constitutional law.

Lawrence Evans.—Professor Evans, a member of the Government Department, is a specialist in the internal operations of Congress and in congressional-executive relations. A former Research Fellow at the Brookings Institution, he has authored scholarly articles on congressional politics and has completed a book on leadership in the Senate.

Charles Hobson.—Dr. Hobson is editor of the Marshall Papers and a lecturer in law and history. Dr. Hobson has just completed the sixth (of a planned twelve) volume of the Marshall Papers.

Charles Koch.—Charles Koch, Woodbridge Professor of Law with the Marshall-Wythe School of Law, is author of a case book and two volume treatise on administrative law. He closely studies the interaction between Congress and administrative agencies. In addition to numerous scholarly publications, Professor Koch is Editor of the Administrative Law Review.

Fredric Lederer.—A professor with the Marshall-Wythe School of Law, Fred Lederer is also the Director of the Center for Law Related Education. Professor Lederer is principal author of casebooks in criminal law and a specialist in law-related education for primary and secondary students. His accomplishments include serving as: Director of the National Reenactment of the Constitutional Convention (conducted in conjunction with Chief Justice Warren Burger and the Commission on the Bicentennial of the United States Constitution); co-author of "Aspects of American Law," the 1988-89 educational television series for secondary students; primary co-author and editor of "The Living Constitution," supplemental text and materials for secondary school students; and primary co-author and editor of "Aspects of American Law" (the curriculum materials for secondary school students to accompany the television series).

Rodney Smolla.—Cutler professor with the Marshall-Wythe School of Law, Rodney Smolla is also the Director of the Institute for the Bill of Rights Law. Professor Smolla is author of numerous books and articles on constitutional topics. His work has appeared in the "Stanford Law Review," "The University of Pennsylvania Law Review," "The Duke Law Journal," and "The University of California Law Review."

Other prominent individuals who will be available to the center from the College of William and Mary include Senator William Spong, Professor Emeritus; John Selby, the Chair of the History Department; and Ronald B. Rapoport± of the Government Department; Jean Lee, Director of the Institute for Early American History and Culture; Jim Bill, Director of the Reeves Center for International Studies; and David Finifter, Director of the Public Policy Institute.

The principal individuals participating in center activities at the Catholic University of America will be:

Maxwell H. Bloomfield.—Professor Bloomfield has taught at Catholic University since 1966 and served with a joint appointment to the faculty of law since 1985. He teaches, writes, and lectures on the history of American law, history of lawyers in the United States, and American constitutional history.

Robert A. Destro.—Professor Destro is the Director of the University's Interdisciplinary Program in Law and Religion. He served until recently as a member of the United States Commission on Civil Rights, an interbranch agency located within the executive branch. His courses include Constitutional Law and First Amendment Law.

George E. Garvey.—Associate Dean for Academic Affairs George Garvey is a nationally recognized expert on antitrust and related economic regulatory laws and policies. He served as Counsel to the Subcommittee on Monopolies and Commercial Law of the House Judiciary Committee. He was a senior research Fulbright Scholar during the 1986-87 academic year, studying European competition policies in the Federal Republic of Germany. He is co-author of a forthcoming book entitled Economic Law and Economic Growth.

William A. Kaplin.—Professor Kaplin is nationally known for his work in education law. He is the author of two editions of the major reference work, "The Law of Higher Education." He currently teaches courses in education law, civil rights law, and basic and advanced constitutional law. Professor Kaplin serves on the Advisory Board of the Center for Constitutional Studies at Mercer University and is experienced in using simulation to teach the legislative and public policy process.

Rett R. Ludwikowski.—Professor Ludwikowski was a professor and chairman of the Legal Studies and Business Departments at the Jagiellonian University of Krakow, Poland, before coming to the United States in 1981. He is an expert on comparative constitutional law and socialist legal systems and has published numerous scholarly works in his fields. Professor Ludwikowski is, with professor William Fox, co-director of the law school's Comparative and International Law Program.

Stephen G. Margeton.—Stephen Margeton is a professor and Director of the Library of the Columbus School of Law. Having served in the Library of Congress and as the Librarian of the United States Supreme Court prior to being appointed to the law school faculty, Mr. Margeton is an expert on both institutions.

Harold A. McDougall.—Professor McDougall is the Director of the Law and Public Policy Program at the Columbus School of Law. The Law and Public Policy Program combines clinical and classroom courses in the theory of public policy process with practical externships and substantive law courses. He is a member of the

Executive Committee of the Legislation Section of the American Association of Law Schools.

Benjamin M. Mintz.—Professor Mintz is an expert in administrative law. Prior to entering teaching, he was the Associate Solicitor for Occupational Safety and Health at the U.S. Department of Labor. He has also served as an attorney in the Department of Justice and the National Labor Relations Board. He has just completed a complete revision of "A Guide to Federal Agency Rulemaking for the Administrative Conference of the United States.

G. Olivia O'Donnell.—Professor O'Donnell is Director of the Master of Arts in Congressional Studies Program of the Department of Politics. She is an expert on the relationships between the several branches of government.

Karla S. Simon.—Professor of Law Karla Simon is a recognized expert on tax law and policy. Prior to joining the Catholic University faculty, she was the Director of the Graduate Tax Program of the University of San Diego. Professor Simon is engaged in significant research concerning federal tax policy and has recently completed a work entitled "Congress and Taxes: A Separation of Powers Analysis." She is currently organizing a major conference on the tax policy process.

Other prominent individuals who will be available to the center from the Catholic University of America include: William J. Byron, S.J., President of the University; Willlam Fox, Lisa Lerman, David Lipton, Linda Mullenix and Dean Ralph Rohner of the Law School; Dennis A. Coyle, Stephen Schneck, David Walsh, and John White of the Department of Politics; and Jon Waklyn of the History Department.

JOINT STATEMENT OF THE BLACK EMPLOYEES OF THE LIBRARY OF CONGRESS AND THE ETHNIC EMPLOYEES OF THE LIBRARY OF CONGRESS

INTRODUCTION

We appreciate the opportunity you have given us on this occasion to present testimony on the budget request of the Library of Congress for fiscal year 1991. We have over the years taken the lead in efforts to bring about a more efficient use of the human resources at the Library of Congress. We have also been in the forefront in our calls for restraint against what we have seen over a number of years as excessive spending of appropriated funds ending with no results and starting with a lack of a sense of direction.

BELC–EELC INITIATIVE

We take great pride in the fact that this marks our thirteenth year of providing testimony, information and knowledge to the Committee on the Library of Congress budget request. Our two organizations were the first to provide to the Congress testimony on the Library of Congress budget request starting in 1978. Our initiative in this regard led to all the other employee organizations having the opportunity to provide the U.S. Congress with testimony on the Library of Congress budget request.

BUSINESS

In the recent past we have noticed a trend on the part of the Librarian of Congress and others to blend the operations of the Library of Congress, a U.S. Government Agency, with those of private enterprise. These private businesses, as we see it, are seeking to exploit a government agency supported by the U.S. taxpayer for their private enterprise and profit.

We believe that such activity clearly poses serious questions of conflict of interest and may therefore not only be ethically improper but also illegal. We believe that the Librarian of Congress, the head of a government agency, should not be promoting any specific company or private enterprise. An engagement such as this in our view opens the door wide to further mismanagement and corruption within the Library of Congress. We are particularly concerned about the proposed joint venture to publish a magazine of the Library of Congress involving the private sector. This idea of mixing the operations of the government and the promotion of private industries headed by the top captains of industry appeared in the Washington Post on January 26, 1990, pages B1, B4. There is at present more than enough intermingling of private commercialization and government in the Library of Congress to warrant concern about conflict of interest and corruption.

DUAL EMPLOYMENT OPPORTUNITY SITUATION

The problems encountered by minorities relative to all forms of discrimination at the Library of Congress have not improved but have gotten worse. The proof of this fact is demonstrated by the continued increase in numbers of discrimination complaints received by the Library of Congress Equal Employment Opportunity Complaints Office (EEOCO) in fiscal year 1989. The EEOC Office received 282 complaints in fiscal year 1989. The claim by the office is that it resolved 102 discrimination complaints in the same period of time. We are not sure what these alleged resolutions consisted of in terms of what was provided the complaining employees by the Library of Congress management. We do not know if these resolutions were fair and without pressure having been brought against the complaining employees. We do know from our personal experience in the many matters that we have been involved in, the Library of Congress did not provide or suggest fair and free resolutions. In fiscal year 1989, 180 discrimination complaints were left pending, or two-thirds of the total cases were left pending. On February 5, 1990 the Library had pending in its control 184 discrimination complaints. We have analyzed for you in past years what this means in terms of wasted time and money to have such a large number of employees involved in discrimination complaints. If only, which is a minimum, four employees were engaged in each complaint, not including the staff in the EEOCO, the number of employees involved in fiscal year 1989 would be about 1,128 employees or about one-fifth of the entire staff of the Library. This means that over a five-year period the number equals the total number of LC staff.

CLASS ACTION

The Library of Congress has been involved in a class action suit based on discrimination against minorities since 1975. On April 28, 1987, the Library of Congress admitted liability for its discrimination against minorities. An award in back pay and front pay totaling more than $800,000 was granted by the U.S. District Court for the District of Columbia. The award has not been paid as of this date due to what we believe unwarranted delay, manipulation and obstruction of justice by the Library of Congress. The Library of Congress has not hesitated to engage in this sort of activity which has resulted in increased legal fees in addition to those already accumulated prior to April 28, 1987. There seems to be no end in sight to the Library's misconduct and waste of the U.S. taxpayers money. The more than $800,000 award resulted from the Library's illegal use of Section 4A of Library of Congress Regulation 2010-14. The Library relied on this section of its regulation to make non-competitive appointments to a large number of top level positions in the Library of Congress. These positions were simply given to individual favorites of the Librarian. Most of these individuals remain in those positions even three years after the Library of Congress administration admitted legal liability for such conduct. These individuals include such persons as the recently Acting Librarian of Congress, the Acting Chief of the European Division over a period of about fifteen years, the Director of the Library's Center for the Book and the Chief of the General Reading Rooms Division. We believe that corrective action is needed by Congress since the Librarian of Congress has failed to make any corrections.

$12.2 MILLION SUIT

On February 6, 1990, the Washington Post contained an article on page B7 about Floyd D. Hedrick and his $12.2 million suit against the Library of Congress, charging age discrimination and cronyism. This article is further demonstration dealing with the serious problem of discrimination and mismanagement in the Library of Congress. This article also confirms our concerns which we have been expressing to you for many years. Our concerns have been that the problems of discrimination and mismanagement are widespread involving employees of all ages, all colors, all ethnic backgrounds, all national origins, both sexes, and all races. Mr. Hedrick is a 63-year-old white employee of long standing service to the Library. We do not take any position at this time on the rightness or correctness of Mr. Hedrick's complaint but we do strongly believe that it points out a serious problem within the Library of Congress. We are concerned because it is a clear showing that appropriated funds and human resources are not well managed in the Library of Congress. The harassment inflicted by the Library on Mr. Hedrick is unfortunately not unusual at the Library but depicts what has happened to literally thousands of other LC employees over the years.

280 NEW POSITIONS

The Washington Post of February 6, 1990, page A23, states that Dr. Billington requested 280 new positions in his fiscal year 1991 budget request before the Committee. It also stated that he requested $52 million more than the Library fiscal year 1990 budget of $267 million which represents a 20.5 percent increase. We are concerned with the request for the 280 new positions at a time, as the Washington Post indicated, when about 13 percent of authorized positions in the Library of Congress are vacant. We are concerned about the 13 percent vacancy rate because we believe that these positions go vacant because of discrimination. That percentage of vacant positions in our view represents a misapplication of appropriated funds and because such is the case we do not see how a request for 280 new positions can be justified. We believe that before new programs and new staff are added there should be full use of the present staff and positions funded through Congressionally appropriated funds. We note that the Librarian's large monetary increase request comes at a time when most people are calling for cuts and reductions in federal spending. We do not believe, as the Librarian apparently does, that more money means better but we believe that to honor his request would be rewarding the Library of Congress and its administration for its failures over a long period of time to improve its handling of appropriated funds and staff. Articles in the Washington Times for September 8, 1989, page B6, October 4, 1989, page B5 and January 17, 1990, page B5 have highlighted the varied problems existing at the Library of Congress. These articles indicate that federally appropriated funds are not properly used at the Library of Congress.

The October 4, 1989 article from the Washington Times points up a possible conflict of interest in that Mrs. Rhoda W. Canter had been a consultant to the Library from the Arthur Young and Co. organization. Her consultation in part consisted of a review of a study conducted by Patterson and Associates report and study on equal employment opportunity in the Library of Congress. The Arthur Young study took issue with the Patterson study. The Patterson study results have not been implemented but Mrs. Canter has become the Associate Librarian of Congress for Management. This situation has the appearance of a conflict of interest. The Patterson report in its recommendations was more favorable to minorities than the Arthur Young report which came after the Patterson report. We have problems with the Library administration hiring a consultant who participated in formulating a weaker report on minorities.

RESOLUTION TEAM

The Library for a long while back made a big to-do with a Special Announcement about the establishment of a pilot program to resolve by negotiation some of the many problems at the Library of Congress, one of which is the matter of discrimination. In our view this resolution team or committee has failed almost from the beginning. It appears that discrimination exists even when attempting resolutions of discrimination. The discrimination takes the form of majority employees receiving just settlements while at the same time minority employees receive unjust settlements and proposals or no settlements at all. We believe that the Appropriations Committee should encourage the Library Administration to make its Resolution Team function by production of just and beneficial settlements for all employees. To do otherwise, the Resolution Team engages in a waste of time, use of employee resources, and appropriated funds. Our two organizations were the first to advocate in Congressional testimony before this Committee in the late 1970's or early 1980's the method of negotiated settlements at the Library of Congress as a means of eliminating or at least reducing the innumerable problems at the Library. We were in favor of such an approach then, and we still favor such a meaningful approach. We have approached this year the Director of the Harvard Negotiation Project asking for assistance for both sides. Attached to this testimony as Exhibit 1 is the letter of George Perry to the Director of the Harvard Negotiation Project, Harvard Law School Professor Roger Fisher and as Exhibit 2 the response of Professor Fisher's Assistant offering to assist if there is a formal invitation for professional advice.

TOO MUCH OUTSIDE TIME

We are becoming concerned that Dr. Billington is spending too much time on matters outside the Library of Congress. We had expressed concern about this sort of matter involving his predecessor. We have been disappointed to discover that Dr. Billington is following the same pattern after pledging to be a hands-on full-time Librarian of Congress managing the affairs of the Library of Congress. We are particularly interested in the time that he appears to be spending with matters dealing with the Soviet Union while the problems at the Library of Congress continue to worsen. It appears that Eastern Europe and the Soviet Union are moving to solve their problems from within. In addition, the U.S. Government through Members of Congress, Committees and the State Department, as well as our Ambassador to the Soviet Union are charged with and authorized to look after the Soviet Union. We would like Dr. Billington to direct his efforts toward solving the many problems at the Library of Congress.

BELC-EELC RECOGNIZED

The two minority employee organizations at the Library of Congress might not be recognized and respected at the Library of Congress but are recognized and respected elsewhere. An example of that recognition and respect can be found in our appearance in the 28th edition of Ulrich's International Periodicals Directory, 1989-90, Volume 1, pages 1617 and 4662, published by R.R. Bowker, New York, NY and attached to this testimony as Exhibit 3.

SOME QUESTIONS

Finally we have several questions to put to you which have been put to us by a number of respected scholars. These questions are:

Why No Change?
Why So Many Complaints?
Why Are Conditions at the Library of Congress So Bad for Employees?
What Has Congress Done About It?

ADDENDUM

The following three headings have been added to the testimony above since we testified before the U.S. House of Representatives on February 8, 1990. This new testimony is based on facts which were not available to us on February 8, 1990.

THE EXECUTIVE SERVICE

We have learned that the Librarian of Congress requested in his budget for fiscal year 1991 that certain positions in the Library of Congress be placed under the Senior Executive Service pay rates. We strongly disagree with this request because it is a request for more federal funds derived from the U.S. taxpayer. Such a request for increased funds is inconsistent with what is being called for from all other quarters. Most leaders and administrators in both parties are saying that we must cut back rather than to continue to add on. In fact, as we prepare this testimony, considerations are being given to a freeze which would prevent for the next year or so social security recipients from receiving their annual cost of living increases. Calls are also being made that other retirees and persons receiving entitlements forego their increases. The Librarian however is requesting that the top employees of the Library of Congress be granted large increases by requesting that certain positions be placed in the Senior Executive Service pay category. We object also to the Librarian's request in this area because it does not appear to us that any minorities—meaning blacks and other traditional minorities—would be beneficiaries. We believe that this is true because of the objectionable racial and other discrimination that we have complained to you about for so long. It would not be wise for you to grant the Librarian his wishes because to do so you in fact would be rewarding him for having discriminated. Another objection to this request by the Librarian is that none of the top employees in the Library of Congress who would benefit from being placed under the Executive Service pay rates meet the requirements or criteria of administrative programs meriting such a pay rate.

WORSENING SITUATION

Since our testimony was prepared and presented to the Subcommittee on Legislative Branch Appropriations in the U.S. House of Representatives the Librarian provided a deposition on February 12, 1990 in the pending class action suit *Howard R.L. Cook et al* v. *James H. Billington*. In providing his deposition a chart was presented entitled Minorities in Management in the Library of Congress as of October 1, Years 1983-1988. We enter this chart as Exhibit 4 to this testimony. This chart lists numbers of employees and percentage of minorities and the positions of Department Head, Deputy Department Head or Equivalent, Division Chief, Assistant Division Chief, Section Head, Executive Officer and Supervisors. This chart includes women as minorities. We would like to point out to you that there are no blacks in Department Head positions or Deputy Department Head positions that we know about. This has been the situation as we have known it since we first started as employees at the Library of Congress 25 to 30 years ago. In the other positions listed on the chart the numbers and statistics are scandalous as they stand. However, if one would remove the women from these statistics then the situation for blacks and other traditional minorities would be even more scandalous. We believe that the largest group in these numbers and statistics listed in the chart consists of primarily white women. White women are being used in this chart to camouflage the lack of real minority representation. It is important for us to point out to you that the income derived from individuals counted in this chart goes into homes of majority employees and not minority employees. We strongly do not believe that the numbers and statistics in this chart indicate that federal funds are being spent in an equitable fashion. We challenge the Librarian to name all these officials in this chart and to indicate who is black among them. Moral sensitivity requires you to take immediate action to correct the long-standing immoral situation.

SAME DIRECTION AND MISSION

We believe, just as the Librarian does, that there is a deeper need for moral reconstruction and mission that goes beyond the political at the Library of Congress. We discerned the Librarian's beliefs more clearly than we had in the past from an article which appeared in the Washington Times on March 13, 1990, pages E1, E7. We believe that our efforts over the last twenty years or so and presently are on the same track and in the same direction that the Librarian says he is on and that therefore there is a need for constant communication and dialog to ensure the fulfillment of the mission that the Librarian and we apparently share.

EXHIBIT 1

BETHESDA, MD, *January 27, 1990.*

Professor ROGER FISHER,
Director, Harvard Negotiation Project, Office: Pound Hall 500, Harvard Law School, Cambridge, Massachusetts.

DEAR PROFESSOR FISHER: Extremely important developments are occurring at the Library of Congress in the field of negotiation—dispute resolution. I am personally involved but I am also trying to help the Black Employees of the Library of Congress that are also personally involved. I wish that the pilot program at the Library of Congress succeed and I, therefore, am asking you—an authority on negotiation—and Director of the Harvard Negotiation Project to support the effort of both sides to reach negotiated, symbiotic, interdependent agreements-settlements.

Respectfully submitted,

GEORGE E. PERRY.

"What? Teach the Other Side How to Negotiate Better?" Speech by Wayne H. Davis presented to 1988 Annual Midwest Labor Law Conference, Columbia, Ohio, October 27, 1988, reprinted as a Program on Negotiation Working Paper No. 1989-1.

"Negotiations in Concert," Roger Fisher, Foreign Service Journal, (October 1989).

For more information regarding the Harvard Negotiation Project, the Program on Negotiation at Harvard Law School, and any courses that are offered, please write to the Project office at Pound Hall 500, Harvard Law School, Cambridge, MA 02138.

EXHIBIT 2

CAMBRIDGE, MA, *February 1, 1990.*

GEORGE E. PERRY,
6100 Eastview Street, Bethesda, MD.

DEAR MR. PERRY: Thank you for your letter of January 27. Professor Fisher is recovering from back surgery and is in the office very seldom. As a result, he is overcommitted with other projects, but if there is a formal invitation for professional advice, please feel free to contact either one of my colleagues: Terry Barnett in Washington D.C. at (202) 363-1966 or Francine Pillemer of Conflict Management, Inc., here in Cambridge (617) 547-8415.

Enclosed are copies of the articles you had requested as a gift from Professor Fisher. I hope you find them useful. Best of luck with your efforts.

Sincerely,

KAREN FARB TULLIS,
Assistant to the Director.

EXHIBIT 3

28TH EDITION, ULRICH'S INTERNATIONAL PERIODICALS DIRECTORY 1989-90

Ethnic Racial Brotherhood. Abbreviated title: E R B. 1980. irreg., no. 153, 1985. Free. Black Employees of the Library of Congress, 1412 Arcadia Ave., Capitol Heights, MD 20743. (Cosponsor: Ethnic Employees of the Library of Congress) Eds. George E. Perry, Howard R.K. Cook. index. (back issues avail.) ISSN 0736-6086

Former titles: Racial Ethnic Brotherhood (ISSN 0731-1133); Ethnic Racial Brotherhood (ISSN 0270-9937)

Ethnic Racial Review. Abbreviated title: E R R. 1975. irreg., no. 109, 1985. Free. Black Employees of the Library of Congress, 1412 Arcadia Ave., Capitol Heights, MD 20743. (Cosponsor: Ethnic Employees of the Library of Congress) Eds. George E. Perry, Howard R.L. Cook. cum. index 1975-1981. (back issues avail.) ISSN 0735-6471

Ethnic Racial Brotherhood (U.S. ISSN 0736-6086) 1617

Ethnic Racial Review (U.S. ISSN 0735-6471) 1617

EXHIBIT 4.—MINORITIES IN MANAGEMENT IN THE LIBRARY OF CONGRESS

[As of October 1, years 1983–88 [1]]

	1983		1984		1985		1986		1987		1988	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Department head	7		8		7		8	12.5	8	12.5	7	28.6
Deputy department head or equivalent [2]	24	16.7	25	16.0	25	16.0	24	16.7	27	14.8	27	11.1
Division chief	93	10.8	98	15.3	96	14.6	91	12.1	90	8.9	90	11.1
Assistant division chief	67	19.4	73	17.8	74	17.6	57	14.0	62	16.1	65	12.3
Section head	307	25.4	308	26.0	307	24.4	256	14.8	256	18.0	256	19.5
Executive officer	8	12.5	8	12.5	7	14.3	6	16.7	6	16.7	6	16.7
Supervisors [3]							436	41.7	403	43.7	365	48.8

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[1] Total number of staff members reported by departments and the percentage of them who are minority.

[2] As defined by the departments when asked for director of department functions, assistant or associate department heads.

[3] Collected for the first time in 1986.

STATEMENT OF DENNIS M. ROTH, PRESIDENT, CONGRESSIONAL RESEARCH EMPLOYEES ASSOCIATION

Mr. Chairman and members of the Subcommittee:

As President of the Congressional Research Employees Association, Local 75 of the International Federation of Professional and Technical Engineers, I welcome this opportunity to once again present our analysis of the 1991 budget request for the Library of Congress, with particular emphasis on the Congressional Research Service. The Congressional Research Employees Association is the exclusive representative of all employees of the Congressional Research Service, and has a membership rate of nearly 70%.

Recognition of Rights of House Employees

On behalf of our membership, I would like to bring to your attention the extension of some very important labor rights to our colleagues in the House. The provision of basic civil rights protection under the Fair Employment Practices Resolution and minimum wage and overtime protection under the Fair Labor Standards Act are important first steps to bring Congressional employees under the Nation's discrimination and labor laws. We encourage the members of the subcommittee to follow suit.

The CRS Budget Request

The Congressional Research Service has been, and continues to be, an integral adjunct to the Congress because of the knowledge, skills, and abilities of its staff. Without their ability to keep the Congress informed on amost any issue, to translate research into political applications, and to know how and where to find information on just about any topic, the Congress would find it much more difficult to carry out its legislative and representative functions.

Almost 90 cents of every dollar you appropriate to CRS goes to staff salaries and benefits; thus, when CRS is made to absorb pay raises, face a

G-R-H sequestration, and receive almost no increase in its appropriation, vacancies go unfilled. Just think what the impact on your personal office would be if you could not replace staff who leave; especially staff with a particular expertise.

As Director Ross noted in his budget submission, your requests to the Service have increased 13% since 1987; yet, the number of staff available to answer this increased workload has decreased by 5%. Nevertheless, the dedicated CRS staff have continued to respond to your needs. But accepting added responsibilities has its down side: the quality of work will decline, and the staff will become frustrated and disgruntled because they want to do their best but cannot do so consistently due to the heavy workload.

In the budget submission, the Director has listed the areas where our capabilities are extremely thin; we strongly support his request to fill vacancies in those areas. At the same time, however, we strongly encourage you to require CRS to fill these positions at the real "entry level." I noted last year that CRS considered as GS-11 entry level. Inasmuch as our professional series job ladders begin at GS-5, GS-11 is not close to entry level. While I recognize that some of the requested positions will have to be filled at the GS-11 level, others could be and should be filled at GS-9. Remember, CRS rewards good work and an individual's advancement can be rapid if he or she performs well.

CREA is especially pleased to see in the FY 1991 budget proposal a request to convert to permanent status 9 staff currently supported by Special and Temporary funding. As I have stated in my previous submissions before this subcommittee, too many CRS employees are making their careers out of a string of temporary and not-to-exceed appointments. As of the end of 1989, 14.5% of nonsupervisory staff (87 out of 600) were in a temporary or not-to-exceed status. I currently am negotiating with CRS to reduce this proportion, and we are very close to resolving this problem with respect to one group of employees. This budget request is necessary to allow the conversion process to continue.

I am also happy to report to the subcommittee that CREA and CRS successfully negotiated an affirmative action plan last summer. This is the first such plan CREA has been able to negotiate in its near 15-year existence. Over the past six months, CRS has posted three affirmative action positions -- one with a career ladder up to GS-9 and two with ladders up to GS-12. But we remain disappointed with the Graduate Recruit Program. A primary concern is the inability of highly qualified existing CRS staff to be able to be selected for the program. We strongly feel that there is bias against CRS staff who apply for these positions. This is also true of most vacancies that occur in CRS below the GS-16 level.

Director Ross has also requested funds for staff recognition and development. As he so correctly notes, our current level of funding for these activities "is inconsistent with our dependence on staff as our most important resource." A significant proportion of current staff joined CRS during its rapid growth during the 1970's. Because of their high caliber, many have reached the top of their career ladders. Yet, much of their outstanding work goes unrecognized. While I support recognition and any appropriate awards, they must be handed out equitably and judiciously. The major problems with the existing system are selection and subjectivity. Putting additional funds into the present system may not achieve the objective stated by the Library's Management and Planning Committee, upon which the request is based. I recommend that a joint labor/management committee be established to review the awards process and be partners in the final decision-making regarding award recipients.

Additional funds for staff development has been one of CREA's major concerns over the past several years. Earlier I noted that one of CRS's major services to Congress is the translation of research so it can be used in the legislative and representative process. Our staff must keep up not only with new research, but with new technology that allows this research to reach you more effectively and efficiently. This cannot always be done by reading books or articles, or by phone conversations. Face to face to contact is also needed and the most efficient and effective way of achieving this is through attendance at meetings and seminars. Over the past several years, analysts who attended such events did so primarily at their own expense. Additional funding is clearly needed so that we can better fulfill our mission to you.

Upper-level Upgrades

CRS management's focus on up-grading the positions and/or salaries of upper-level personnel needs discussion -- particularly in light of the current budget stringency. Less than two months after Director Ross said in a CRS-wide memo that "we will have to reduce spending across the board," CRS increased the grade level of six supergrades (having obtained prior approval from the Joint Committee on the Library). The positions of Assistant Director for Operations and the Assistant Director for Special Programs in CRS are now graded higher than the Director of Financial Services and the Director of Human Resources for the entire Library, not just 800 employees. These upgrades were not done on the basis of merit or standard reclassification procedures that CRS management always tells CREA bargaining unit employees must be adhered to, but through political maneuvering. While the increases for the Chief and Assistant Chief of the Congressional Reference

Division and the Chief and Assistant Chief of the Library Services Division (the only female and black division chiefs in CRS) are long overdue, the timing clearly is inappropriate.

— The CRS budget submission does not mention CRS's pending request before the House Administration Committee and the House Post Office and Civil Service Committee for Senior Executive Service (SES) pay status. CREA members find this request highly inappropriate and very disturbing. First, the SES is for managers who administer programs at the top level, and who have significant policy-making responsibilities. Only the Director, and perhaps the Deputy Director, of CRS meet these criteria. CRS claims that Senior Specialists, for whom the linkage is sought, are managers because they supervise a secretary and research assistant. But Senior Specialists do not manage or appreciably influence any programs, nor do they have significant policy-making responsibilities. Senior Specialists do not belong in the SES.

Second, granting SES status without the checks and balances, i.e., evaluations and recertification, is unfair to everyone else in the organization who is subject to annual review and appropriate action.

Third, as long as funding is inadequate to make lower-graded NTE and temporary positions permanent and to fill vacant research and analyst positions, how can we increase our expenditures on salaries and benefits for upper-level personnel by adopting a higher pay system for them?

Lastly, how can CRS staff who are being requested to save money from nonpersonal accounts be asked to do even more so that top level CRS staff can have a higher salary level.

Thus, the positions for which CRS is requesting SES status do not meet the established criteria; nor, given the current budget situation do they make common sense. We have already seen that top-level managerial promotions can be manipulated without some form of checks and balances. Therefore, I ask you to reject any effort by CRS to come under the SES system.

In summary, it appears that CRS upper level management officials are exempt from "across the board" budget-cutting efforts and from other standards that apply to the rest of us at CRS.

Equal Employment Opportunity and Affirmative Action in LC

Working in the areas of equal employment opportunity and affirmative action has been one of my greatest enjoyments and biggest disappointments over the past year. Last April, the three labor unions and Library management joined together to establish an experimental EEO/Dispute Resolution Team. The team had several objectives, among these were: (1) to reduce the significant backlog of EEO complaints; (2) to examine the nature of complaints in the system for the purpose of proposing remedies; (3) to develop a new EEO Complaints process; and (4) to open up an avenue for staff to air their disputes with management. This pilot, focusing primarily on Library Management Services, has worked well and much has been learned about the problems of Library staff and management.

As a result of my experience, I proposed a similar panel for CRS last summer, and a separate Dispute Resolution Pilot with CRS was established in September. We have only recently dealt with our first case. It is, therefore, too early to judge its success or failure in CRS.

My experience with the development of an Affirmative Action Plan (AA) for the Library, however, has been one of frustration and disappointment. Early in 1989, a Special Projects Team was established to develop a multi-year AA plan for the Library of Congress. Each of the labor unions had a representative on the team and, at the request of the Librarian, their report was concluded in late August or early September. The CREA representative was quite satisfied with the team's findings, although some dissatisfaction remained on how to calculate underrepresentation.

It was not until three months later, however, that management presented the final plan to the unions for negotiation. Moreover, even though management had made some changes in the Team's proposal, the Team was not consulted about those changes (even though they had been requested to do so) until I raised this issue in my testimony before the House Legislative Branch Appropriations Subcommittee last month.

As you review the Library's "Justification of Estimates" book for FY 1991, I challenge you to find any request for implementation of an Affirmative Action Plan. I suspect that the reason for this is that the Library still does not know what it wants to do, and it is this that bothers me the most. While there has been an attempt to identify grade disparities within the Library on the basis of race and sex, there is only a statement of intent to identify underrepresentation in each Service Unit. This is not adequate. The Plan proposal does not include any program for developing the talent already in the Library; it focuses totally on recruitment. While there is a program for managerial development, it appears that it is limited to those who are already managers. It is clear at this point that the AA package that CREA and CRS negotiated last summer is far superior to that being proposed by the Library.

Furthermore, your FY1990 appropriations provided the Library with funds for four positions for the Pilot Staff Development Internship. When I voiced my support for the pilot this time last year, I noted that I had not yet seen the particulars of the program. It wasn't until I raised this issue in my House testimony that a Pilot program was quickly put together. The program recently was bargained and it will be a significant step forward. Labor organizations in the Library nevertheless are very skeptical about Library proposals regarding affirmative action; even those programs the Library has funded need to be jump started.

Human Resource Needs

In my earlier appearances before this Subcommittee, I requested your support regarding the air quality in the Madison Building and for an onsite day care center. By this summer, we should have the recommendations from the National Institute for Occupational Safety and Health (NIOSH) on how to correct the air quality related problems in the Madison Building. Our concern is where will the funds come from to make the necessary corrections. We do not see any planning for this in the Library's budget, and we fear that the same will be true in the budget for the Architect of the Capitol. We cannot wait until FY1992 to begin to improve the air quality in the Madison Building.

I also understand that you have been working with the Librarian in trying to secure a nearby offsite facility that will house a day care center, among other things. As you know from your recent debates on this issue, day care is no longer a luxury. Aiding the Library in this endeavor will demonstrate Congress' concern for day care in a very positive way. It is my understanding that this facility should benefit your staff as well as that of the Library. Furthermore, in times of salary increases below the level of inflation, an increase in the fringe benefits available is an indication to Library staff, including those of CRS, that you do care and appreciate their work.

Compressed Workweek for CRS

Last year, I discussed with you CREA's proposal for a compressed workweek experiment in CRS. Since then, three research divisions have experimented with compflex, and two are scheduled to do so later this year. In addition, one section is currently trying compflex. The results of the experiments have been positive, and we seek your continued support when we develop a plan for all divisions in CRS. The main reason I raise this issue, however, is because of a mandate that has appeared in our appropriations reports over the past several years that prohibits managers above the GS-14 level from participating in any Library compflex program. CREA requests that this prohibition not apply to CRS. It was not our managers who abused the program that led to your decision to exclude them. CRS staff are responsible and consider their service to the Congress their highest priority.

Summary

One might conclude, on the basis of my testimony, that the Congressional Research Service is not a good place to work. This would be too strong a conclusion. CRS basically is a good employer, but could improve markedly. The biggest problem, I believe, is the attitude of management toward staff. For a professional organization, there is too much of a parent/child type of relationship; I say, you do. Much of the dissatisfaction with CRS management has to do with poor communication and consultation. All staff are concerned with getting the job done as effectively and efficiently as possible. The problem is that we are not consulted when changes are being considered even though we do the work on a daily basis and have a lot to offer on how to correct problems or improve the work flow.

We also have affirmative action and upward mobility problems. While some modest improvement has been realized with the former, little has been done with respect to the latter. Unlike earlier times, individuals get stuck in their positions because there is no attempt to build bridges from one occupation to another.

Finally, CRS has not been sensitive enough to the problems of its lower-graded staff. Many of these individuals feel uncomfortable in dealing directly with management; and management does not give these employees enough credit to help solve problems or make suggestions. I hope, that through our efforts to establish consultative management throughout CRS, these artificial barriers will be broken down.

STATEMENT OF PHYLLIS B. BISCHOF, CHAIR, ARCHIVES-LIBRARIES COMMITTEE, AFRICAN STUDIES ASSOCIATION

Thank you for this opportunity to state the wholehearted support of the Archives-Libraries Committee of the African Studies Association of the U.S. for the establishment of a West African regional office by The Library of Congress. Members of this Committee manage the most substantial and prestigious collections of Africana held by our nation's major research libraries. Our seventy members and our respective libraries welcome the prospect of better acquisition of and improved bibliographic control over West African materials, publications which have been notoriously difficult to acquire.

Africanists believe a West African regional acquisitions office to be not only highly desirable, but also necessary to improved acquisitions of West African publications by American libraries. Enactment of the request now before you would go far to alleviate the present partial and uneven coverage in this country of these publications which are sorely needed by scholars, students, entrepreneurs, and also by governmental policymakers. The outstanding success of the East African Accessions Office has long raised the question of why West Africa, with publications more numerous, has been ignored among foreign acquisitions programs. A West African acquisitions program would significantly enhance information resources available nationally because of a stated intent to make available copies of publications acquired by the field office not only to The Library of Congress itself, but also by sale in microform to other major Africana libraries around the country. The East African Office publishes and distributes gratis its highly valued *Accessions List: East Africa*. This list informs librarians what has been published in the twenty-two countries covered by The Library's Nairobi field office, and it delineates for us the universe of printed information with which we need to be familiar. No comparable form of bibliographic control exists for West Africa, although it is profoundly needed. I should like to share with you just one specific example of the kind of problem typically faced by American librarians in acquiring African materials. For two years the Library of the University of

California at Berkeley attempted in vain to set up a subscription to a Kenyan newspaper, *The Daily Nation*, published in Nairobi. We particularly wanted to receive the paper since at least fifteen Berkeley professors are engaged in East African research, and of course both American and Kenyan graduate and undergraduate students on the campus need to keep abreast of Kenyan news. One would think this to be a simple matter, but it was not. We wrote repeatedly with no response. Finally in 1987 we sent Ms. Susan Hall, a Berkeley Fulbright scholar spending a year in Nairobi, to the offices of the *Daily Nation* to discuss the matter in person. Subsequently much correspondence still was needed from Berkeley in order to get the subscription correctly underway. The paper finally began to arrive, however in late 1989 we decided we would have to cancel our subscription. Why so? Because the issues received were so few in number that each daily issue actually received cost us $44. No library can bear such costs. Only in limited instances can libraries afford the kind of special attention and voluminous correspondence we expended on trying to acquire this newspaper in the first place.

There is, however, a happy ending to this story. Just at the time we determined to cancel, The East African Accessions Office offered to begin acquisition of selected newspapers, serials, and governmental publications from Kenya for American libraries at cost plus a fifty-percent administrative fee. We had been paying $780. annually for this paper to arrive by airmail. Now we shall pay $100.50 for an annual subscription, and we do expect the paper to arrive regularly and promptly. Savings will be used to pay for other African materials we could otherwise not have purchased. The Archives-Libraries Committee wishes to express its appreciation to The Library of Congress for this extension of the activities of its Nairobi Office. This action should significantly strengthen and improve East African holdings in American libraries. Since no commercial alternative to this support exists, improved library collections of Africana remain quite dependent upon this type of assistance.

In 1982 I made a seven-week's acquisitions trip to five West African countries. Although this was highly beneficial to my library and its collections, such trips are very costly, necessarily infrequent, and benefit only single institutions. They require months of preparation and weeks of follow-up in addition to the time away from one's normal work. Karen Fung, Stanford's Deputy Curator for Africana, made one such trip during the 1970s; Dr. Joseph J. Lauer, then of UCLA, also made one trip during the 1980s. Acquisitions trips are not possible for more than one or two of our members in any given year, and many years have passed without a single trip being taken. Not only their cost and infrequency bear on the wisdom of reliance on such trips to improve acquisitions; the sheer number of the more than fifty African countries for which we are responsible to collect materials does not permit more than occasional visits by even the most assiduous traveller.

Africana librarians consider publications of Nigeria to be among the most urgent to acquire; they are also among the most difficult. Our acquisition problems stem in large measure from remaining gaps in Nigerian infrastructure and from difficulties inherent in long-distance communication. Nigeria's population of an estimated 105 million means that one of every six Africans is Nigerian. Nigeria possesses one of the highest per capita incomes on the continent, ($730 in 1986, according to *The Statesman's Yearbook of 1989-90*), and its people are full of vitality and resourcefulness. After obtaining independence in 1960 Nigeria built twenty-two universities and scores of polytechnic and other college level schools. It also, like many other newly independent African nations, instituted universal primary education in the years 1955 to 1971. Thus it offers a number of aspects of unmistakable interest to this country, including a relatively well-trained workforce, sizable potential markets, and in addition, of course, substantial oil reserves.

Recently established (since 1984) Nigerian publishers, are all quite significant, but thus far only poorly represented in libraries of this country. They include the following: Fountain Publications (Ibadan), Booklinks (Ibadan), Gbemi Sodipo Press (Abeokuta), Malthouse Publishing (Ibadan and Lagos), Paperback Publishers (Ibadan), Saros International (Port Harcourt), Vantage Publishers (Ibadan), Zikizum Publishers (Benin City), Pero Press (Lagos), Zim-Pan African Publishers (Oguta), etc. Publications of these newly established publishers and other indigenous publishers, as well as the information issued by West African governments should be readily available in major research libraries here in the United States. I wish to make emphatically clear that adequate private sector resources to supply research libraries with these publications do not exist.

It is a truism that this is an information age. In such an age Americans can ill afford to be without solid collections of West African publications. This country must compete in an information age, for so very many reasons. We must know the terrain and the facts of daily life, as well as the political and economic conditions in this important area. We must know markets and demographic patterns; educational, medical, and environmental information of all kinds is required. A number of the West African countries contain parts of the Sahara Desert within their borders; detailed information regarding their climates is imperative in order to assess and act upon such questions as those associated with global warming. Information regarding levels of air pollution and water purity in oceans off the borders of these lands also affects the lives of Americans. Establishment of this office provides a singular opportunity to bridge a troubling gap in our sources of information on West Africa.

The Archives/Libraries Committee of the African Studies Association is encouraged by the present endeavor to establish a West African acquisitions office. We consider passage of the Library of Congress proposal for this office essential to the successful performance of our work. Passage is also essential to the national interest, for it would enable policymakers to base their decisions on a fuller representation of West African information of all kinds.

Members of the Archives-Libraries Committee unanimously urge the Subcommittee's favorable consideration of this measure.

LETTER FROM EILEEN D. COOKE, DIRECTOR, AMERICAN LIBRARY ASSOCIATION

May 8, 1990

The Honorable Harry Reid
Chairman, Legislative Branch
Appropriations Subcommittee
Senate Committee on Appropriations
Washington, D. C. 20510

Dear Senator Reid:

This letter is submitted for the hearing record on FY 1991 appropriations for the Government Printing Office on behalf of the American Library Association. ALA is a nonprofit educational organization of 50,000 librarians, library trustees, and friends of libraries dedicated to the improvement of library and information services for all people.

The American Library Association urges FY 1991 appropriations for the depository library program at a level which will support the distribution of electronic information through the Depository Library Program of the Government Printing Office, and sustain the current distribution of paper and microfiche. Thus, we support the Public Printer's FY 1991 budget request for $27,900,000 for the Salaries and Expenses Appropriation of the Superintendent of Documents. ALA supports the requested increase of approximately $3,700,000 over FY 1990 appropriations because these funds are needed for the printing and distribution of publications associated with the 1990 Decennial Census to depository and international exchange libraries in 1991, and for the distribution of the bound Congressional Record in paper format to depository libraries.

This letter will concentrate on three topics:

- The need for strong Congressional commitment to retain no-fee access to government information for users in depository libraries;
- The role of GPO in the dissemination of government information; and
- The significant amount of cost sharing by depository libraries in making government information accessible to the public.

Strong Congressional Commitment to No-fee Access Needed

The American Library Association is pleased that GPO is implementing the pilot projects to test depository library distribution of government information in electronic formats. In 1987, both the House and Senate passed over, without prejudice, GPO's request to transfer monies from its revolving fund to begin the pilots, pending the completion of the Office of Technology Assessment report, Informing the Nation. That report, not published until late in 1988, concluded that information technologies hold the promise of helping to achieve the original goals and intent of the depository program through enhanced access to government information. In May 1989, GPO received Congressional approval to start the five pilot projects--three products and two online services. The two online pilots are in an early stage--no cost data is available from them. Recently, GPO announced the selection of 100 test sites for the online pilots. The University of Nevada, Reno, is one of the depositories selected.

In January, the "Government Printing Office Improvement Act of 1990," HR 3849, was introduced and referred to the Committee on House Administration. This bill provides, for the first time, for user fees by the public to use government information in depository libraries. The bill clearly seems to permit requiring payment by users and/or depositories for "information services," which are not specifically defined. We suspect that "services" refers to online access not included in a revision of the definition of "government publication" proposed in HR 3849. The proposed definition refers to an "information product" published "in any tangible format, medium, or substrate."

Given the delays in the implementation of the pilots, ALA believes it unwise for Congress to consider initiating user charges for depository access to services absent cost data from the pilots. It also seems short-sighted to make separate provisions for access to information products and services while the pilot projects are testing the utility, feasibility, and cost-effectiveness of different modes of access for electronic information. More fundamentally, we are alarmed at the reference to direct payment by the user of government information through the Depository Library Program specifically established by Congress to ensure no-fee, geographically dispersed access to government information. Such a provision abrogates the most basic principles of the depository program. These changes to current law would mean that only affluent users and well-supported libraries will have access to online government databases.

That government information, regardless of format, would be available only to those who can pay for it is the kind of inequity Congress sought to eliminate when it established the Depository Library Program in the 19th century. We urge this Subcommittee to fund GPO at a level to support the dissemination of electronic information through the Depository Library Program.

The Role of GPO in the Dissemination of Government Information

GPO and the entire federal government are at a critical juncture regarding dissemination of government information. Informing the Nation detailed the rapid introduction of electronic information technologies and systems into all aspects of ongoing agency programs and concluded that this trend will escalate in the next few years. As you know, the library community has been concerned about the future economic viability of GPO unless the agency is authorized to sell and distribute electronic information products and services, as the number of such products and services of government continues to rise. What can the Subcommittee and other Committees of Congress do to improve public access to government information through GPO?

1. Invest more manpower and funds in the Information Technology Program.

This program is implementing the pilot projects to test the economic feasibility of providing electronic products and services to the nation's nearly 1,400, Congressionally designated depository libraries. Pilots will provide public access to the bound Congressional Record, Census statistical data, and the Environmental Protection Agency's Toxic Release Inventory in CD-ROM (compact disk-read only memory); and two online databases, the Economic Bulletin Board and one from the Department of Energy.

2. Fund GPO to make the transition to electronic dissemination.

While it is clear that constraints must be placed on many agency programs, it is also clear that an investment in current programs is critical to GPO's future financial viability. Appendix A illustrates the severe constraints GPO has operated under for the past six years. ALA urges this Subcommittee to reverse this budgetary trend. We also observe that the recent pattern of drawing on the GPO revolving fund can only be a short-term solution. Given the anticipated decline in GPO's revenues if the agency is not permitted to engage in dissemination of electronic information, the revolving fund cannot sustain repeated use in this manner.

3. Maintain effective operations of the current depository program.

Simultaneous with the transition to an integrated electronic GPO and depository program, attention must be given to maintaining effective operations for the current Superintendent of Documents program. The Depository Library Program warrants more resources and higher priority within GPO for it to function effectively.

Depository Library Cost Sharing

I have already discussed ALA's concern about HR 3849, which would permit agreements for cost-sharing "contributions" from service users and depository libraries, among others. All depository libraries already contribute substantially to the total cost of the program as their share of this cooperative effort with the federal government. Preliminary data collected by the American Library Association, and enclosed with this letter, show that 39 regional depositories and 43 selectives identify direct costs totaling $20,875,485--more than the $19,905,000 for GPO's depository library distribution in FY 1990. Note that these are incomplete data from only about 6 percent of the total number of nearly 1,400 depositories--although they are some of the largest and most active.

The University of Nevada, Reno, for example, estimates that between July 1988 and the end of June 1989, it spent $241,616 to provide public access to government information through the University's depository library. Annual costs include: staff ($170,071); equipment ($8,350); physical plant ($126,901); indexes, reference materials, and other publications ($53,245); telephone and telecommunications ($2,155); and supplies ($5,074). While CD-ROM products may prove to be an inexpensive method of disseminating information for the federal government, libraries are making a heavy investment in equipment so the public can use them. For example, the University of California, Davis, spends $4,300 each on CD-ROM stations. They may spend up to $2,000 per year per station for paper and printer cartridges, and $760 per year per machine for reader/printer maintenance contracts.

As you can see, depository libraries are spending very substantial sums to help Congress fulfill its responsibility to inform the public on the policies and programs of the federal government. We believe they are doing their share.

I would like to tell the Subcommittee how pleased ALA is that GPO and the Joint Committee on Printing have begun development and plans to distribute the final bound edition of the Congressional Record on CD-ROM. I am also pleased to report that progress has been made on the adoption of a national policy on permanent papers. Last July, the Senate passed S.J.Res. 57, to establish a national policy to promote the use of permanent, alkaline papers. A hearing will be held on the House companion, H.J.Res. 226, on February 21. We deeply appreciate the direction given to GPO in the report on the FY 1990 Legislative Branch Appropriations to aggressively pursue the usage of alkaline, low acid-content paper for its in-house and commercially procured printing.

Sincerely,

Eileen D. Cooke
Director
ALA Washington Office

GPO Budget History

Using figures provided in the Appendix of the Budget of the U.S. Government, the following numbers describe the pattern of funding request for the GPO Superintendent of Documents--Salaries and Expenses, and the amount ultimately appropriated. (In some years, the final figure was the result of across-the-board sequester of federal funds.) These figures include support for the Depository Library Program.

GPO Superintendent of Documents

FY	Budget Request	Appropriation
85	$29,747,000	$28,868,000
86	28,835,000	24,993,000 (after sequester)
87	27,835,000	23,763,000
88	26,500,000	24,662,000
89	26,800,000	25,155,000
90	25,500,000	24,214,000
91	27,900,000	?

- Since FY 85, the Congressional appropriation dropped by more than 16 percent from $28,868,000 to $24,214,000.
- The funds supporting the Depository Library Program in FY 1990 are $4,654,000 less than six years ago!

If a modest 4 percent annual inflation factor is added, the picture gets worse. The following indicates where the Superintendent of Documents appropriation would be if inflation had been added.

Using $28,868,000 in FY 85 as a base, the following six years' budgeting would have resulted in the following appropriations:

FY 86	$30,023,000
FY 87	31,023,000
FY 88	32,473,000
FY 89	33,772,000
FY 90	35,123,000
FY 91	36,527,000

The Superintendent of Documents' appropriation is more than $12 million below the level needed for the program just to keep pace with current operations.

REGIONALS **QUESTIONNAIRE RESULTS--FALL 1989 SURVEY**

The following table represents approximate expenditures for Regional Depository Libraries answering the questionnaire. Forty-three responding depositories are listed, but not all those responding included complete information, either because of the time limits or the lack of necessary data. Some depository collections are spread throughout the library, and accounting and budgetary processes do not break out the costs. Totals in this table represent answers to questions on (a) annual equipment cost; (b) annual staff costs; (c) annual bibliographic and/or processing access costs; (d) annual acquisition costs; (e) annual interlibrary loan costs; (f) annual telephone and other telecommunications costs; (g) annual supply costs; and (h) other costs.

Library	City/State	Total Annual Cost
Univ. of Alabama	Tuscaloosa, AL	$ 205,159
Arkansas State L.	Little Rock, AR	109,373
Arizona Dept. L.	Phoenix, AZ	302,630
California State L.	Sacramento, CA	419,058
Univ. of Colorado	Boulder, CO	334,679
Conn. State Library	Hartford,CT	312,800
Univ. of Florida	Gainesville, FL	239,250
Univ. of Georgia Ls.	Athens, GA	266,028
Univ. of Hawaii	Honolulu, HI	270,445
Univ. of Idaho	Moscow, ID	98,030
Illnois State L.	Springfield, IL	248,000
Indiana State L.	Indianapolis, IN	243,950
Univ. of Kansas	Lawrence, KS	205,617
Univ. of Kentucky L.	Lexington, KY	277,294
Louisiana State U.	Baton Rouge, LA	200,238
Lauisiana Tech. U.	Ruston, LA	108,822
Univ. of Maine	Orono, ME	170,500
Univ. of Maryland	College Park, MD	566,950
Boston Public L.	Boston, MA	497,935
Library of Michigan	Lansing, MI	350,777
Univ. of Minnesota	Minneapolis, MN	265,955
Univ. of Mississippi	University, MS	238,931
Univ. of Missouri	Columbia, MO	140,648
Univ. of Montana	Missoula, MT	107,927
Univ. of Nebraska	Lincoln, NE	140,827
Univ. of Nevada	Reno, NV	241,616
Newark Public L.	Newark, NJ	199,950
New Mexico State L.	Santa Fe, NM	107,000
Univ. of New Mexico	Albuquerque, NM	313,143
New York State L.	Albany, NY	302,935
Univ. of N. C.	Chapel Hill, NC	125,530
State L. of Ohio	Columbus, OH	229,290
Okla. State U. L.	Stillwater, OK	353,304
Okla. Dept. of Ls.	Oklahoma Cty, OK	181,368
Portland State U.	Portland, OR	110,000+
Clemson U. Library	Clemson, SC	186,367
Memphis State U.	Memphis, TN	173,805
Texas Tech. U. L.	Lubbock, TX	295,805
Utah State U. L.	Logan, UT	175,852
Univ. of Virginia L.	Charlottesville, VA	179,986
Washington State L.	Olympia, WA	120,813
W. Va. U. Library	Morgantown, WV	167,156
Wyoming State L.	Cheyenne, WY	110,754
TOTAL....................................		$9,896,497

SELECTIVE

QUESTIONNAIRE RESULTS--FALL 1989 SURVEY
EXPENDITURES

The following table represents approximate expenditures for Selective Depository Libraries answering the questionnaire. The survey was directed at the regional libraries, but forty-three selective libraries responded as well; this is a small percentage of the many selectives. Some did not include complete information, either because of the time limits or no data was available on the question. Some collections are spread throughout the library, and accounting and budgetary processes do not break out the costs. In the case of these libraries, different amounts of government documents are collected, hence the term selective. Totals in this table represent answers to questions on (a) annual equipment cost; (b) annual staff costs; (c) annual bibliographic and/or processing access costs; (d) annual acquisition costs; (e) annual interlibrary loan costs; (f) annual telephone and other telecommunications costs; (g) annual supply costs; and (h) other costs. Not all libraries are able to provide physical plant costs, and those costs are not included in the totals.

Part 1.

Library	City/State	Total Annual Cost	% Docs. Selected
Arizona State U. L.	Tempe, AZ	$ 201,343	95
Univ. of Arizona L.	Tucson, AZ	391,011	90
U.C.-Berkeley	Berkeley, CA	373,200	n/a
U.C.-Davis	Davis, CA	354,651	75-80
U.C.-Irvine	Irvine, CA	449,954	65
U.C.-Riverside	Riverside, CA	282,527	n/a
Stanford Univ. Ls.	Stanford, CA	304,360	63
Yale Univ. L.	New Haven, CT	257,328	n/a
Univ. of Conn.-Storrs	Storrs, CT	221,400	85
Georgetown Univ.	Washington, DC	104,328	45
Univ. of Miami	Coral Gables, FL	225,519	81
Florida State	Tallahassee, FL	171,353	90
S. Illinois Univ. L.	Carbondale, IL	80,584	85
Chicago Public L.	Chicago, IL	879,700	97
Northwestern Univ. L.	Evanston, IL	238,067	78
Univ. Illinois-Urbana	Urbana, IL	352,015	90
Indiana Univ. L.	Bloomington, IN	175,636	84
Ball State Univ.	Muncie, IN	121,954	45
Indiana Univ. SE	New Albany, IN	23,974	n/a
Univ. of Notre Dame	Notre Dame, IN	103,621	65
Johns Hopkins Univ.	Baltimore, MD	182,128	60
Univ. of Mass.	Amherst, MA	224,542	85
Widener L. Harvard	Cambridge, MA	503,651	70
MIT	Cambridge, MA	162,000	50
Univ. of Michigan L.	Ann Arbor, MI	470,482	79
Washington Univ.	St. Louis, MO	100,489	49
SUNY-Albany	Albany, NY	101,761	47
SUNY-Buffalo	Buffalo, NY	311,133	90
SUNY-Stony Brook	Stony Brook, NY	262,200	78
Univ. of Rochester	Rochester, NY	226,545	n/a
Rutgers U. Ls.(4)	New Brunswick, NJ	461,059	differs
Univ. of Cincinnati	Cincinnati, OH	197,874	92
Univ. of Oregon	Eugene, OR	233,675	n/a
Temple Univ.	Philadelphia, PA	160,678	58
Penn. State Univ.	University Pk, PA	369,200	84
Univ. Tenn.-Knoxville	Knoxville, TN	148,100	90
Univ. Texas-Austin(3)	Austin, TX	642,584	55 avg.
Texas A&M	College Sta, TX	356,721	85
Univ. of Houston	Houston, TX	66,120	72
Rice University	Houston, TX	130,928	30
VPI	Blacksburg, VA	247,545	70
Washington State U.	Pullman, WA	388,168	n/a
Univ. of Washington	Seattle, WA	246,317	83
	TOTAL	$11,506,425	

STATEMENT OF GEORGE F. ELMENDORF, MEXICO SUR

The first thing that we wish to state clearly is that none of the booksellers represented by this testimony has any objection to the Library of Congress opening an office in Mexico City. Such an office could be very appropriate if it would confine its activities to cataloging, purchase for the Library of Congress of newspapers and other hard-to-get serials, issuing of accession lists and other suitable activities.

All of the bookdealers represented by this testimony object to the participant component which will turn the proposed overseas office in Mexico City into a bookseller. No businessman can accept a government funded middleman between himself and his clients. In fact, the majority of our clients object to this proposed function as it may cause them to loose bibliographic control over the region.

Middlemen inherently raise the cost to clients if direct lines of commerce are running smoothly between the provider and the client. Our clients assure us that the commercial lines between us are running smoothly. We are in direct contact by telephone and mail and welcome and act on suggestions they make for improving our services. Middlemen also inherently cause delay. As an example, the Library of Congress receives our lists and catalogues by first class mail. They respond with orders by telephone within 48 hours of receipt. We ship the day after we receive their telephone order by UPS. The books are in their hands within four days. Although they are shipped fully insured, we have never had a loss. One can imagine the delays and possible losses if books were shipped to Mexico City and then reshipped back to the United States.

The only logical reason for the Overseas Division of the Library of Congress to want to go into the book business is that the current booksellers are not supplying the needs of the Library of Congress. At meetings and in other ways Mr. Filstrup has indicated several areas he feels are inadequately covered. He also attempts to distinguish between commercial and non-commercial publications. From the bookdealers viewpoint, any material we offer for sale is by definition commercial.

The publications Mr. Filstrup, at one time or another, has alleged to be inadequately covered are ephemera, government documents, academic presses, provincial presses and serials. We have attached a summary of the number of these items offered recently. Color coded copies of our lists backing up the attached statistical summary are on file in Congressman Jerry Lewis' office. In fact, at a meeting held January 5, 1990 in Redlands, California, Mr. Filstrup admitted that he did not know what books we were not supplying and that they would open the office and find out. This seems like an expensive cart before the horse approach to us. In fact, at that meeting there were two tables of lists and catalogs from six competing dealers; approximately 80 recent lists and catalogues were present.

1. Ephemera: Until recently the Library of Congress excluded items under 50 pages from their approval plan profile. When the dealers learned that the Library of Congress was interested in ephemera, we formed the Mexican Ephemera Consortium and offered a proposal to provide ephemera to the Library of Congress (copy attached). This proposal offers to provide 3600 pieces of ephemera per year. While the Consortium is waiting for an answer from the Library of Congress, we have collected over 450 pieces of ephemera which is ready for shipment. The ephemera we can provide covers both Mexico and Central America.
2. Government Documents: Any publication by the national, state or municipal entities could be said to be a government document. Given the nature of publishing in Mexico, this would be so inclusive as to be ridiculous and confusing, as many monographs are published by government entities. Accordingly, we confine our definition of government documents to publications that deal with some aspect of a government or agency within the government. This would include Informes and Memorias at national, state or municipal level, directories, statistical works, manuals, studies of agencies or special departments of governments. It should be noted that many of these government documents are also serials and/or are regional in nature and thus will show up in several categories in our attached statistical summary. These materials are difficult to obtain, but we feel we are doing a good job providing them. We admit there is always room for improvement, but we attempt to obtain everything and there is no

evidence that a Mexico City office could do anything more than possibly marginally augment our offerings.

3. Academic Presses: Academic presses are among the most common offerings of all bookdealers. Our statistical table will show a large number of academic press items are available from current bookdealers. A possible exception is scientific academic presses mentioned in Adleson's letter to Mary Price of January 29, 1990. Dr. Adleson's letter adequately deals with this matter (letter attached).
4. Provincial Presses: Provincial presses have never been better covered in Mexico. Mexico Sur/Norte was specifically formed at the urging of the Library of Congress and other research libraries. It has a full-time office in Oaxaca. It has issued 6 Sur lists and 6 Norte lists in the past year covering the states of Yucatan, Campeche, Quintana, Roo, Tabasco, Chiapas, Oaxaca, Guerrero, Sonora, Sinaloa, Baja California, Baja California Sur, Tamaulipas; Nuevo Leon, Coahuila and Chihuahua. The states of Zacatecas, Durango and San Luis Potosi will be added in 1990. In addition, 2 retrospective Sur catalogues and 1 retrospective Norte catalogue have been issued. Libros Latinos gives special coverage to the states of Jalisco and Baja California and Baja California Sur. Books from Mexico gives special coverage to the states surrounding Mexico City. Other dealers sell provincial material as well. The statistical summary will indicate the amount of provincial coverage available. There is no reason to believe that a Mexico City office could give adequate coverage in this area. Provincial coverage requires extensive travel, book experience and the dedication and hard work that only motivated private business can provide adequately.
5. Serials: Serials are the most difficult for bookdealers to completely cover. A Library of Congress field office in Mexico City could be very helpful with this category. Specifically such an office could be most helpful covering daily newspapers. Some specialty magazines could undoubtedly be provided with a field office's help. Our statistical summary will indicate that the bookdealers give basic coverage.

Another area of difficulty has been the lack of plan and budget for the proposed office. How is it possible to propose an annual expenditure of at least $490,000 without an extensive plan and budget? Up to this date, despite repeated requests, we have not seen a plan or budget of any use for the purpose of judging the merits of the proposed overseas office in Mexico City.

The difficulties of obtaining information began in December, 1988 when Elmendorf wrote to Filstrup (copy attached). That letter was not answered until June 20, 1989 (copy attached).

In the meantime SALALM (Seminar on the Acquisitions of Latin American Library Materials) held its annual conference in Charlottesville, Virginia. Mr. Filstrup and several other members of the Library of Congress made a presentation to the Conference. That presentation was taped and a transcript of the tape is available in Congressman Jerry Lewis' office. It is apparent that the majority of the specialist librarians present had grave doubts about the field office as proposed. Specific doubts were expressed concerning the proposed sales activity of the field office. At the final session of the conference a resolution was unanimously adopted and sent to Dr. Billington the Librarian of Congress (copy attached). A plan and budget was asked for and was not available or presented to the attending librarians.

On June 6, 1989, Elmendorf wrote to Dr. Billington concerning the lack of an available plan or budget (letter attached). Dr. Billington answered that letter on August 17, 1989. In the meantime Mr. Filstrup had sent the briefest of plans and budgetary material which only indicated 15 employees and a budget of approximately $490,000 annually. There was no indication of the employees' job descriptions or any of the normal logistics of a major office. There was no real budget breakdown that indicated how the money was to be spent. There was no indication of an acquisitions budget if the field office was to buy and distribute books. We expected a plan and budget similar to the one presented by the Latin American Bibliographic Foundation to NEH requesting a grant to compile the NICARAGUAN NATIONAL BIBLIOGRAPHY, 1800-1978. A copy of the NEH plan and budget is on file in Congressman Lewis' office.

On January 5, 1990, Mr. Filstrup, Mr. Bonham and Mr. Hemperly met at Redlands, California with three bookdealers; Mr. Elmendorf, Mr. Vijil and Dr. Adleson. Prior to that meeting Mr. Filstrup had been asked twice by telephone to send ahead a plan and budget. None arrived and at the meeting it was specifically stated that the plan and budget were in the works, but that in Mr. Filstrup's opinion they belonged to the committee on appropriations and that we would have to request a copy of the plan from them. (Letter to Mary Price of January 12, 1989 attached).

At a meeting in January 1990 in Mexico City, Mr. Filstrup evidently mentioned a five page plan and Mr. Lombard questioned the adequacy of the size of the plan.

We have now requested a copy of the plan and budget by telephone to Congressman Jerry Lewis' office and hope that the members of congress have at last received the plan and budget and can forward a copy to us.

We are attaching brief business biographies of the bookdealers represented.

In conclusion, we would like to state that we hope this testimony makes our position in opposition to the Library of Congress as a bookdealer in Mexico City clear. We hope our position in support of a Library of Congress field office in Mexico City without acting as a bookdealer is equally clear.

STATEMENT OF EDNA G. BAY, EXECUTIVE SECRETARY, AFRICAN STUDIES ASSOCIATION

I am pleased to have the opportunity to testify in support of the Library of Congress's request for a West African regional acquisitions office. I am pleased, too, to be able to speak on behalf of the African Studies Association, a non-profit corporation of some 2500 individuals and institutions with an interest in African affairs and the leading organization promoting African studies in the United States. Founded in 1957, the ASA's mission is to bring together persons with a scholarly and professional interest in Africa, to provide useful services to the Africanist community, and to publish and distribute scholarly Africanist materials.

Most of the 1900 individual ASA members are professors and researchers associated with institutions of higher education in the US, though our membership also includes persons with careers in the United States foreign service, in international development and health, in primary and secondary education and in church or social service work as it relates to Africa. Our institutional members are predominantly libraries and academic programs.

Among the most active of the committees within the African Studies Association is our Archives-Libraries Committee. The oldest of our constituent groups, the committee consists of professional librarians and archivists representing virtually all the research institutions and major university libraries holding significant collections of Africana. Meeting twice annually, these 60-70 individuals have worked over the years to acquire materials on Africa and to make them available both to research scholars and to the American public.

The effective functioning of our members, as teachers, researchers and decision-makers in African affairs, is dependent upon access to current information on Africa, whether it be primary works such as news materials and government documents, or whether it be published and unpublished scholarly monographs and papers prepared by colleagues in African universities and research institutes. To the extent that we collectively assist in the formation of US opinion and of US policy on Africa, it is clearly in the national interest that the flow of information to us and to all Americans be ensured. In short, the quality of American understanding and analysis of African affairs is directly linked to the quality of information available to all of us.

The Library of Congress Office in Nairobi has done an excellent job in providing bibliographic control for a wide area of east, northeast, central and southern Africa. Its extensive acquisitions efforts have succeeded in developing one of the world's finest collections of current materials from those areas. Futhermore, through the office's cooperative acquisitions program, materials such as serials, which are particularly difficult to obtain through commercial sources, are being made far more widely available on a timely and continuing basis than has ever before been possible. The excellence of the services provided by the Nairobi office has underlined the need for a West African counterpart for the more than twenty African nations not currently covered by a Library of Congress field office.

The establishment of a West African acquisitions office is a particular need given the importance of that region: it is the area to which most African Americans trace their heritage, and it continues to be a strategically and economically important area for the United States. West Africa is increasingly the source of new immigrants to the United States, often skilled and talented individuals who have enriched American research capabilities in African studies as well as individuals who are contributing generally to the US economy. Nigeria, the world's sixth most populous country, is located in West Africa, as are Ghana, Ivory Coast, Liberia and Senegal, to mention just a few of the nations with which the US has special relations and interests.

The need for the systematic collection of information on West Africa is crucial at this time for two reasons. First, we have all been made increasingly aware over the past decade of the world-wide interconnectedness of environmental, health, political and economic systems. Tracing the spread of AIDS in West Africa or understanding issues such as West African deforestation and its impact on the earth's environment are essential to a global approach. Information on West African markets and the supply of raw materials is central to our understanding of global economics, while the changes in great power relations and the deep economic crisis in West Africa have created fluid and rapidly developing political situations likely to change the nature of government there and the atmosphere of international organizations everywhere. Our long-term policy interests will certainly be affected as populations in West Africa increase their demands for democratic institutions.

Second, at the same time that we recognize the need for global undertstanding of human issues, our ability to acquire information from West Africa has declined. Over the decade of the 80s deteriorating economic conditions there have crippled channels of communication across the Atlantic. Our librarians and scholars have become increasingly frustrated at being unable to obtain current materials either in a reliable or a timely fashion. Institutions with the means send librarians on occasional collecting trips and individual scholars often make acquisitions a side activity on research visits. Nevertheless, such efforts are by definition spotty, and cannot begin to deal systematically or comprehensively with the entire body of available materials.

In fact, there is a greater production of print materials in West Africa than in eastern Afric One hundred fifty-three publishing houses exist in Nigeria alone. Commercial vendors are able to supply American institutions with only a portion of the needed materials. West African countries produce national bibliographies or other listings of publications only sporadically and many West African publications are ephemeral, products of short print runs and inadequate budgets. A field presence is essential for the systematic collection of these materials.

We anticipate that a West African aquisitions office will assist us in two major ways. First, the office will alert us to the existence of materials by producing a bi-monthly accessions list and annual list of publishers. We in turn will have access to those materials through the Library of Congress. Second, the Library of Congress plans through a West African office to offer American libraries participation in a cooperative acquisitons program to be run on a cost-recovery basis. This will enable virtually any American library to obtain materials, and particularly serials, on a reliable basis at a considerable savings in cost, even though they will pay list price plus 50% overhead. Moreover, American librarians and individual scholars will be able to acquire materials like government documents, which are often not available in multiple copies, through the LC's photoduplication services.

The need for a West African field office is abundantly clear. It would facilitate research and understanding of that area in the context of America's responses to a world in the midst of dramatic political and economic changes. It would promote the national interest by enabling policy makers to base their decisions on a fuller representation of West African governmental activities and intellectual concerns. Surely Americans cannot afford to be without these information resources, so many of which are at present outside our reach.

LIST OF WITNESSES, COMMUNICATIONS, AND PREPARED STATEMENTS

Page

Alter, Mary Ruth, computer center, Office of the Sergeant at Arms, U.S. Senate 47
Andelin, John, Assistant Director for Science, Information, and Natural Resources, Office of Technology Assessment 269
Avram, Henriette D., Associate Librarian for Collections Services, Library of Congress 367

Balderson, Stuart F., Financial Clerk of the Senate, Office of the Secretary of the Senate, U.S. Senate 1
  Prepared statement 46
Barnett, Richard C., Director of Congressional and Legislative Affairs, Government Printing Office 437
Bay, Edna G., executive secretary, African Studies Association, prepared statement 553
Becker, Herbert S., Director, Information Technology Service, Library of Congress 367
Billington, James H., Librarian of Congress, Library of Congress 367
  Prepared statement 376
Bischof, Phyllis B., chair, Archives-Libraries Committee, African Studies Association, prepared statement 540
Black Employees of the Library of Congress, prepared statement 524
Bowsher, Hon. Charles A., Comptroller General of the United States, General Accounting Office 465
  Prepared statement 465
Brown, Richard L., Controller, General Accounting Office 465
Byron, William J., S.J., president, Catholic University of America, prepared statement 509

Canter, Rhoda W., Associate Librarian for Management and Acting Associate Librarian for Special Projects, Library of Congress 367
Cole, John Y., Acting Associate Librarian for Cultural Affairs, Library of Congress 367
Cooke, Eileen D., director, American Library Association, letter from 543
Crowley, Brian P., Director of Planning and Reporting, Accounting and Financial Management Division, General Accounting Office 431
  Prepared statement 432
Curran, Donald C., Associate Librarian for Operations and Acting Associate Librarian for Constituent Services, Library of Congress 367
Cylke, Frank Kurt, Director, National Library Service for the Blind and Physically Handicapped, Library of Congress 367

Delquadro, David, Director of Personnel, Congressional Budget Office 75
Desautels, Mark, Intergovernmental Relations Unit, Congressional Budget Office 75
Domenici, Hon. Pete V., U.S. Senator from New Mexico, questions submitted by 506
Doyle, Charles, Acting Law Librarian, Library of Congress 367

Elmendorf, George F., Mexico Sur, prepared statement 549
Ethnic Employees of the Library of Congress, prepared statement 524

Fitt, Alfred, General Counsel, Congressional Budget Office 75

Gibbons, John H., Director, Office of Technology Assessment 269
  Prepared statement 279

Page
Giugni, Henry K., Sergeant at Arms, Office of the Sergeant at Arms, U.S. Senate 47, 121
  Prepared statement 51, 149
Goldstein, Ira, Assistant Comptroller General for Operations, General Accounting Office 465
Greigg, Stanley L., Director of Intergovernmental Relations, Congressional Budget Office 75
Gwin, Holly L., General Counsel, Office of Technology Assessment 269

Hartman, Robert W., Acting Deputy Director, Congressional Budget Office 75
Hatch, Hon. Orrin G., U.S. Senator from Utah, letter from 273
Hemperley, John O., Budget Officer, Library of Congress 367
Herdman, Roger, Assistant Director for Health and Life Sciences, Office of Technology Assessment 269
Hodges, Polly, Budget and Finance Officer, Congressional Budget Office 75
Houk, Hon. Robert W., Public Printer, Government Printing Office 437
  Prepared statement 438

Jabbour, Alan, Director, American Folklife Center, Library of Congress 367
Jackson, Russell, service department, Office of the Sergeant at Arms, U.S. Senate 47
Jenkins, C. Wesley, Chief, Data Base Administrative Unit, Congressional Budget Office 75
Johns, Lionel S., Assistant Director for Energy, Materials, and International Security, Office of Technology Assessment 269

Kennedy, Hon. Edward M., U.S. Senator from Massachusetts, Office of Technology Assessment 269
  Prepared statement 272
Kerrigan, Frank, Chief, Capitol Police, Capitol Police Board 121
  Letter from 136

McCabe, Joan M., Deputy Assistant Comptroller General for Human Resources, General Accounting Office 465
McCormick, Adoreen, Legislative Liaison Officer, Library of Congress 367
McCormick, Robert W., telecommunications, Office of the Sergeant at Arms, U.S. Senate 47
McGurn, Thomas P., Administrative Officer, Office of Technology Assessment 269
Muldoon, Thomas J., Director, Office of Planning, Government Printing Office 437

Nakamura, Brian, Administrative Assistant and General Counsel, Office of the Sergeant at Arms, U.S. Senate 47
Nickles, Hon. Don, U.S. Senator from Oklahoma, questions submitted by 68, 203, 251, 461

Oman, Ralph, Register of Copyrights, Library of Congress 367
  Prepared statement 385

Reischauer, Dr. Robert D., Director, Congressional Budget Office 75
  Prepared statement 76
Rezendes, Victor, Director, Energy Issues, Resources, Community and Economic Development Division, General Accounting Office 465
Ross, Joseph E., Director, Congressional Research Service, Library of Congress 367
  Prepared statement 384
Roth, Dennis M., president, Congressional Research Employees Association, prepared statement 531

Schwartz, Eric, Policy Planning Advisor, Copyright Office, Library of Congress 367
Shelley, Michael H., Special Projects Assistant, Library of Congress 367
Sherman, Andy, Staff Assistant for Planning, Government Printing Office 437
Socolar, Milton J., Special Assistant to the Comptroller General, General Accounting Office 121, 465
  Prepared statement 129

Page

Solomon, Matthew, Assistant Director, Legislative Branch Audit Site, Accounting and Financial Management Division, General Accounting Office 121, 431

Stewart, Hon. Walter J., Secretary of the Senate, Office of the Secretary of the Senate, U.S. Senate 1

Prepared statement 15

Tabb, Winston, Acting Deputy Librarian of Congress, Library of Congress 367

Thomson, Jeri, Assistant Secretary of the Senate, Office of the Secretary of the Senate, U.S. Senate 1

Verkuil, Paul R., president, College of William and Mary, prepared statement 509

Walker, Jerry, Director, Legislative and Special Audits, Accounting and Financial Management Division, General Accounting Office 121, 431

Webster, John D., Director, Financial Services, Library of Congress 367

White, Hon. George, Architect of the Capitol 121, 211

Prepared statement 220

Zimmerman, Daniel, Chief, Systems Development and Research Unit, Congressional Budget Office 75

SUBJECT INDEX

ARCHITECT OF THE CAPITOL

Page
Additional committee questions 218
Budget request 211
Building inspector, new 215
Day-inspectors added 215
East Plaza improvements 217
Elevator traffic survey 214
Elevators:
  Additional 213
  Improvements to Hart 213
Engineer, professional added 216
Flood care program, new 215
Hazardous waste accumulation 218
Law, some increased required by 211
Maintenance, Senate Office Building 214
Senate restaurants food improvements 214
Senate subway system 216
  Design approved 217
Staff, need for additional 212
Supervisory training 215

CAPITOL POLICE BOARD

Additional committee questions 148
Age group comparison 140
Arrests, demonstration 145
Attrition rates 139
Background 123
Budget request 132
Civilians:
  Employees 139
  Positions 124
  Use of 125
Civilization 133
Crimes 144
Force, reduction of the 148
Jurisdiction, increasing 142
Leave policy 124
Magnetometer screening 144
Pay compression 133
Payroll consolidation 132
Physical fitness 140
Plastic explosives 146
Police force:
  Civilians in 127
  Size of 144
  Total 146
Promotions 125
Racial discrimination 134
  Claims of 141
Retirement 126
  House and Senate contingents 127
  One system 128
Security enhancement program 134

Page

Security:
  Increased 147
  Late night 143
Senate steps, closing of to public 146
State office security 134
Union Station parking 134, 142

CONGRESSIONAL BUDGET OFFICE

Additional committee questions 110
Associates, introduction of 104
Coordination with other agencies 107
Increase, requested 107
President's budget, CBO's analysis of the 104
Request for fiscal year 1991 105
Role of 106
Staffing 108
Workload 105

GENERAL ACCOUNTING OFFICE

Additional committee questions 481
Associates, introduction of 431, 473
Capitol Police training, Library use of 432
Civilian versus police use 432
Measurable achievements 474
No conclusions reached 435
Nuclear waste:
  Abroad 477
  Disposal 475
Nuclear weapons plants 476
Pay system, components of 478
Pay-for-performance system 477
  Changes, impact of 479
Performance-based bonuses 480
Police, possible merger reviewed 431
Repository site cost-benefit analysis 477
Sequesters, effect of 481
Site characterization 476
Work force location 478
Yucca Mountain site 475

GOVERNMENT PRINTING OFFICE

Additional committee questions 455
Associates, introduction of 445
Congressional rate reductions 453
Congressional Record:
  Index 454
  Program automation 447
Electronic dissemination pilot projects 450
Equipment modernization 449
Facilities 448
On-line access 452
Rapid response center 450, 452
Rates, reduction of 453

LIBRARY OF CONGRESS

Additional committee questions 393
American Memory project 370
Appropriated funds needed 369
Arrearage report submitted 373
Arrearages discussed 387
Budget request 367
Budgetary realities, harsh 367
Different approach needed 386
Emphasis shifted 388

Page
Foreign acquisitions program ... 372
Hearing recalled, last year's ... 388
Information, repository of ... 392
Library community, savings to ... 369
Library, Smithsonian, Archives meeting proposed ... 391
National research and education network ... 373
On-line service pilot program ... 371
Reorganization recalled, past ... 390
Services to nation illustrated ... 371
Staff development ... 375
Storage facility, secondary ... 375

OFFICE OF TECHNOLOGY ASSESSMENT

Acid rain, work on ... 296
Additional committee questions ... 297
Budget request ... 269
CAFE standards, discussion of ... 294
Clean air, work on ... 271
Congress, OTA works for the whole ... 294
Contracting, request for an increase in ... 276
Distance learning ... 273
    Work on ... 270
DNA typing, work on ... 270
Do we need OTA? ... 275
Global warming, work on ... 295
Organization, OTA is an efficient ... 277
Polygraph, work on ... 270
Rental expenses ... 292
Star schools program ... 274
Superconductivity, cooperation on ... 293
Technologies, focus on ... 278
Tenure, Senator Stevens' at OTA ... 297

U.S. SENATE

OFFICE OF THE SECRETARY OF THE SENATE

Automation ... 2
Budget request ... 3
Congressional Record, automation of the ... 3
Foreign delegation visits ... 5
Gift of democracy resolution ... 7
Interparliamentary delegation visits ... 6
LEGIS upgrade ... 6
Library warehouse space, new ... 11
New positions ... 3
Public Record, Office of, revolving fund ... 10
Second assistant enrolling clerk ... 5
Senate library:
    Collection evaluation ... 12
    Conservation and restoration program ... 13
    Function of the ... 12
    Relocation ... 11
Senate Page School ... 8
    Evaluation ... 9
Senate stationery room ... 11
Trips to Eastern bloc countries, coordinating additional ... 7

OFFICE OF THE SERGEANT AT ARMS

Additional committee questions ... 62
Associates, introduction of ... 50
Budget request ... 47
Budget revision ... 57
Computer center ... 49
    Personnel ... 59
Constituent services system ... 59

Page
Constituent services system—Continued
  Contractor, selection of 61
Data communications network 48
Economic allocation 61
Executive Office 48
Human resources 48
Local area network [LAN] support 62
Photographic and recording studios 50
Photographic studio 58
Service department 49
Special services, joint office of 62
State office support 57
Telecommunications 48

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